

State of North Carolina
Division of Mental Health, Mental
Retardation, & Substance Abuse Services
ADMINISTRATION

3021 Blue

RECORDS RETENTION AND DISPOSITION SCHEDULE
FOR
CENTRAL AND REGIONAL OFFICES OF
DIVISION OF MENTAL HEALTH, MENTAL RETARDATION AND
SUBSTANCE ABUSE SERVICES

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**RECORDS RETENTION AND DISPOSITION SCHEDULE
FOR CENTRAL AND REGIONAL OFFICES
OF DIVISION OF MENTAL HEALTH, MENTAL RETARDATION AND
SUBSTANCE ABUSE SERVICES**

1. **Purpose.** The purpose of this schedule is to grant the division the consent of the Department of Cultural Resources in the destruction of public records and to notify public records custodians that public records should not be arbitrarily destroyed.

The North Carolina Division of Archives and History is required by law to grant consent to the destruction of all public records as well as select, preserve, and make available public records of lasting value regardless of their physical form or characteristics.

2. **Scope.** This schedule applies to all Division of Mental Health, Mental Retardation and Substance Abuse Services offices in the central office in Raleigh, North Carolina and the regional offices in Fayetteville, North Carolina; Greenville, North Carolina; Winston-Salem, North Carolina; and Black Mountain, North Carolina.
3. **References.** North Carolina General Statutes 121 and 132 govern the retention and disposition of public records. The Department of Cultural Resources, Division of Archives and History, has the statutory responsibility of working with state agencies in developing workable schedules for the retention and disposition of records of all kinds and the economical and efficient management of public records.

WHY RECORDS MANAGEMENT?

Are your filing cabinets bulging? Are all secondary storage locations full as well? Have you ever attempted to locate an important document that was hopelessly lost in the office files? Do you know if the vital records in your office are being protected? Could your office resume operations following a fire or other disaster? The answers to these and other questions depend on whether or not you have a good records management program.

For most government offices, paperwork and information retrieval services comprise the largest operating expense after salaries. For many offices, the traditional answer to the problem of ever-increasing numbers of records has been to hire more administrative and clerical employees, purchase more filing cabinets, and rent additional office space in which to place the new cabinets. These practices are expensive, usually inefficient, and almost always unsuccessful because the time and money spent is expended to store useless records that could have been disposed of through records disposition.

Records management by providing for the storage of inactive records, the destruction of obsolete records, and the protection of essential records offers immediate savings and improved efficiency for each office. Properly implemented, it means that needed records can be quickly found in the office, inactive but important records will be available on short notice from low-cost storage areas, and extra copies of essential records will be protected by off-site storage. Additionally, expensive office space used to file obsolete or inactive records will be freed for better use and time now spent looking for records, misfiles, and lost records will be reduced. Filing cabinets will be emptied and reused thereby eliminating, or greatly reducing, the need to purchase additional storage equipment. The need to lease space in which to store inactive records will also be eliminated, and managers and supervisors will know where and what information resources are available in each office file. Thus, significant monetary savings can be realized through the proper management of records.

Improved efficiency, management, and cost avoidance savings are but the first benefits to be realized from managing and controlling records. A complete records management program includes the identification and archival preservation of those records having historical value after they are no longer needed for administrative or official use.

Records Retention and Disposition Schedule

The Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that all the public records of the

DIVISION OF MENTAL HEALTH, MENTAL RETARDATION, AND SUBSTANCE ABUSE SERVICES

are listed herein and that they do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. Public records including machine readable records not listed in this schedule are not authorized to be destroyed. The

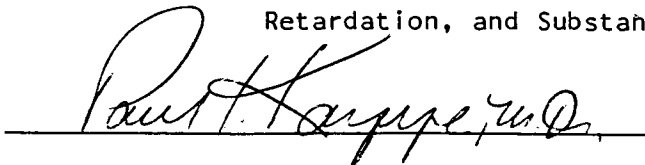
DIVISION OF MENTAL HEALTH, MENTAL RETARDATION, AND SUBSTANCE ABUSE SERVICES

agrees to destroy, transfer or dispose of records only in the manner and at the times specified herein. This schedule is to remain in effect for five years from the date of approval and will then be reviewed and updated.

APPROVAL RECOMMENDED



Sarah R. Brooks, Chief Records Officer
Division of Mental Health, Mental
Retardation, and Substance Abuse Services

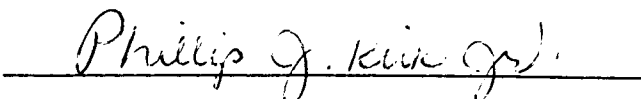


Paul T. Kayye, M.D., Director
Division of Mental Health, Mental
Retardation, and Substance Abuse Services

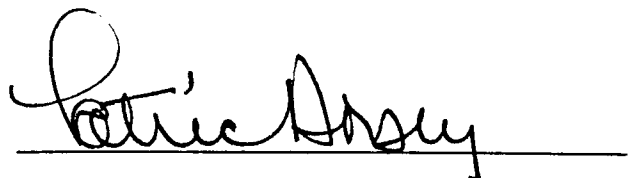


William S. Price, Jr., Director
Division of Archives and History

APPROVED



Phillip J. Kirk, Jr., Secretary
Department of Human Resources



Patric Dorsey, Secretary
Department of Cultural Resources

October 1, 1986

ABOUT THIS PUBLIC RECORDS SCHEDULE

RECORDS MANAGEMENT. Chapter 132-8.1 of the General Statutes of North Carolina establishes, in part, that, "It shall be the duty of the head of each State agency and the governing body of each county, municipality and other subdivision of government to establish and maintain an active, continuing program for the economical and efficient management of the records of said agency, county, municipality, or other subdivision of government."

The records retention and disposition schedule is the foundation of the records management program for the Division of Mental Health, Mental Retardation, and Substance Abuse Services. The records described herein reflect those found in the majority of those offices.

PUBLIC RECORDS DEFINED. Chapters 121 and 132 of the General Statutes of North Carolina state: "Public record or public records shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction of public business by any agency of North Carolina government or its subdivisions. Agency of North Carolina government or its subdivisions shall mean and include every public office, public officer or official (State or local, elected or appointed), institution, board, commission, bureau, council, department, authority or other unit of government of the State or of any county, unit, special district or other political subdivision of government." However, in accordance with G.S. 131E-95 and 122C-52, medical review committee minutes and client records are considered confidential and are not considered public records within the meaning of G.S. 132-1.

DESTRUCTION OF PUBLIC RECORDS REGULATED. As the records of the division are public records, their destruction is regulated. Chapter 132-3 of the General Statutes of North Carolina provides, "No public official may destroy, sell, loan, or otherwise dispose of any public record, except in accordance with G.S. 121-5, without the consent of the Department of Cultural Resources."

WHAT THE SCHEDULE IS. This records retention and disposition schedule supersedes and replaces all other schedules written by the Division of Archives and History concerning division records. It contains a listing of most the records maintained in the offices with instructions for their retention and disposition. All provisions of this schedule remain in effect until the schedule is officially amended. Errors and omissions do not invalidate this schedule or render it obsolete. So long as the schedule remains in effect, destruction or disposal of records in accordance with its provisions shall be deemed to meet the provisions of G.S. 121-5(b).

DESIGNATION OF RECORDS OFFICER. The director of the Division of Mental Health, Mental Retardation, and Substance Abuse Services is responsible for ensuring implementation of this schedule and shall delegate responsibility for such implementation to person(s) within the division deemed most appropriate.

CHANGING THE SCHEDULE. You may request an addition, deletion, or retention period change by completing and sending Form RC-3S (see page XX) to the Records Services Branch, Division of Archives and History. See the instructions on the form for more information.

RETENTION PERIOD MANDATORY. Public records may not be destroyed prior to the time set forth in the records schedule without specific approval of the Department of Cultural Resources. **However, for sufficient reason, records may be kept for longer periods.**

EARLY DISPOSAL OF RECORDS. Persons desiring to dispose of public records earlier than specified in this schedule must request in writing the concurrence of the Department of Cultural Resources as required by G.S. 121-5. Written application should be made to the Records Services Branch, Division of Archives and History, Department of Cultural Resources, 109 East Jones Street, Raleigh, North Carolina, 27611. The request should include: the title of the records, the inclusive dates of the records, the volume of the records expressed in cubic feet, and the justification or reason for requesting the action. The request should include a statement certifying that the records have no further official use or administrative value to the division.

PERMANENT RECORDS. Records scheduled for permanent preservation, even after being microfilmed, must never be destroyed without specific written consent of the Department of Cultural Resources.

PROTECTING PUBLIC RECORDS. Whenever public records are transferred to the State Records Center, they shall remain in the legal custody of the governmental agency where they were created or collected in the course of public business. Such records are released only to the legal custodian or upon authorization of the legal custodian. Records are disposed of only when and as specified in this public records schedule.

The Chief Records Coordinator for the Division of Mental Health, Mental Retardation, and Substance Abuse Services will be notified prior to the destruction of any records maintained by the State Records Center and such records shall be destroyed only upon written authorization of the Client Records Coordinator.

RECORDS OFFICER'S RESPONSIBILITIES. Public records shall never be given to private or semipublic organizations or to individuals. To ensure compliance with Chapters 121 and 132 of the General Statutes of North Carolina, only the retention and disposition instructions in this schedule shall be used.

OTHER GOVERNMENT REQUIREMENTS. In the event that a legal requirement, statute, or program requires that a record be kept longer than specified in this schedule, the longer retention period shall be applied.

METHODS OF DESTRUCTION. Public records scheduled to be destroyed must not be permitted to fall into unauthorized hands. Where authorized, records scheduled for destruction shall be burned; otherwise, shredding, pulping, or burial under dirt rather than merely dropping the records into a hole shall be used.

DESTRUCTION PROCEDURES. Individuals may destroy records in their custody after the retention periods in this schedule have been fulfilled without further approval from, or reference to, the Department of Cultural Resources or the Chief Records Officer.

Records eligible for destruction at the State Records Center will be destroyed by the Records Center staff after receiving concurrence in the destruction from the division's Chief Records Officer.

RECORDING RECORDS DESTRUCTION. The destruction of public records should be recorded in some permanently preserved document such as an office records destruction register. The record should include the description and quantity of each record or record series disposed of, inclusive dates of the records, and the date of destruction.

DESTRUCTION OF ORIGINAL RECORDS THAT HAVE BEEN DUPLICATED. Original records that have been duplicated on microfilm, microfiche, or other form may be destroyed prior to the specified retention period and without specific approval from the Department of Cultural Resources, provided the following three conditions are met:

1. The duplicate copy of the information contained in the original record is maintained for an approved specified time established by the Department of Cultural Resources.
2. The original records have not been scheduled for permanent preservation.
3. The Secretary of the Department of Human Resources has agreed to the destruction of the original records and the destruction is recorded in a permanent record such as a records destruction register.

DESTRUCTION OF MACHINE READABLE RECORDS. Video tapes, audio tapes, and electronic data/word processing records (tapes, disks, input/output records, etc.) are public records and are governed by G.S. 121-5. Unless they are specifically listed in this records retention and disposition schedule they must not be erased/destroyed without the concurrence of the Department of Cultural Resources. Concurrence may be granted for records not listed in this schedule by completing and submitting either form RC-4S or form RC-MRR-1S on pages XXI and XXII to the Department of Cultural Resources.

DESTRUCTION OF RECORDS NOT LISTED IN THIS SCHEDULE. One-time destruction of an accumulation of an unscheduled or a discontinued records series should be referred to the Department of Cultural Resources for authorization. A form for this purpose appears on page XXI.

TRANSFERRING RECORDS TO THE STATE RECORDS CENTER. Some records listed in this document are scheduled for transfer to the State Records Center because of their continuing administrative or research value beyond current activity in the division. The schedule tells how long the records are to be kept, when they should be sent to the State Records Center, and how long they are to be held there.

If you have a minimum of at least one (1) cubic foot of records which are eligible for transfer to the State Records Center, please do the following:

1. Call the Records Center Supervisor at (919) 733-3891.
2. Give your name, agency, division, section, unit name, telephone number, and complete address.
3. Give the **unique computer identification number** that has been assigned to the records series. If you are transferring a records series that has not been previously transferred, ask that a unique computer identification number be assigned.
4. Give the schedule reference (page and item number) of the records series you plan to transfer which is included in this RECORDS RETENTION AND DISPOSITION SCHEDULE.
5. Give the number and size boxes that you need.

After you call the Records Center Supervisor, he will prepare the "Records Transfer Request" and box labels. These, along with the boxes and instructions on how to box the records, will be delivered to you by Records Center personnel or to Regional Offices by state courier service.

After you receive the boxes, you should complete items 7, 12, and 13 on the "Records Transfer Request." When your boxes are ready for transfer to the State Records Center, send the "Records Transfer Request" to the Records Center Supervisor at 215 N. Blount Street by courier mail or by U.S. mail to the State Records Center, 109 E. Jones Street, Raleigh, N.C., 27611. Central office personnel will be called by the Records Center and notified when their records will be picked up. Regional office personnel must arrange to have the boxes transported to the State Records Center. Please telephone the Records Center Supervisor at (919) 733-3891 and give him the details of the transfer at least two days before the records are shipped.

CONFIDENTIALITY OF STORED RECORDS. All records stored in the State Records Center remain in the legal custody of the creating division. Records will not be released to any other agency or the public without prior division approval.

State Records Center personnel who have access to any record must sign a written statement detailing the consequences of divulging any information about any record stored in the State Records Center.

HOW TO BOX RECORDS FOR TRANSFER TO THE RECORDS CENTER. Please do the following when you box records for storage in the State Records Center:

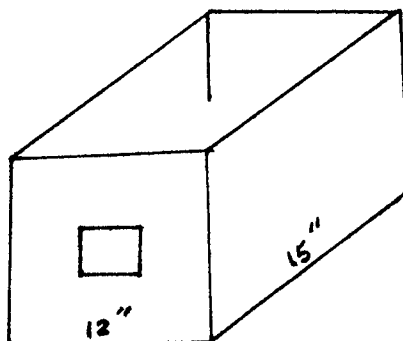
1. Fold and tape bottoms of boxes. Turn short flaps in first, then long flaps. Tape with 3-inch wide paper sealing tape furnished by the Records Center.
2. Place records in boxes in the upright position and in the same order as they were arranged in the file drawer. Leave the records in their file folders. Pack firmly but allow about three inches of free play in the back of the box.
3. Stand **letter** size folders the 12-inch way from front to rear of the box. Stand **legal** size folders the 15-inch way from right to left side of box.
4. Place the records of each series in boxes separate from other records with different schedule references.
5. Labels are pre-typed for you. Fill in information below dotted line with **ball point of felt tip pen.**

Agency
Division or Section
Records Series Title as Shown in Schedule

Dates of Records
Number or Letter of Beginning and Ending Folders
Box No. _____ of _____

6. Stick the label in the center of the front 12-inch end of all boxes. **Ledger box (15"W x 19"L x 11"H) users must stick the label to center long (19") side of box.** Number all boxes consecutively within each series to show correct box sequence. Write the number on the label.

EXAMPLE: Box 1 of 50.



7. Close boxes before they are sent to the Records Center by tucking flaps in alternately over and under each other. **DO NOT TAPE TOP OF BOX.**
8. For help, please call (919) 733-3891. Ask for the Records Center Supervisor.

OBTAINING REFERENCE SERVICE ON RECORDS IN THE STATE RECORDS CENTER.
Reference service on records stored in the State Records Center may be obtained by one of the following methods:

- a. **Priority, emergency, or routine requests** may be requested by telephoning (919) 733-3891. Routine requests will be filled within 24 hours and returned to your agency via interoffice mail, State Courier Service, or U.S. mail.
- b. Minor data or information from records may be requested to be telephoned to the requestor. Please indicate if you want to be called when you make your request.
- c. Personal visits to the State Records Center for pick up of records should be preceded by telephoning (919) 733-3891 and making an appointment.

Requests for service on stored records must include the following:

The requestor's name.

The name of your agency, division, section, and unit.

The requestor's complete address.

The requestor's telephone number.

The title of the records series as it appears in this records schedule.

The name or number of the record you need.

The date of the record.

The records schedule **page and item number** listing the records series requested.

The records series computer identification (I.D.) number.

The box series number, if applicable.

RECORDS MANAGEMENT WORKSHOPS

TECHNICAL AND PROFESSIONAL TRAINING. Staff training helps to make a good agency records management program better. The records management workshops listed below are available to all governmental agencies and can be presented at your office. At least 10 people should be scheduled to attend before an office requests a workshop be held on their premises. Records Services Branch workshops are free; however, when they travel to a regional office to conduct workshops, they ask that agencies reimburse their section with the current cost per mile for a state vehicle and to pay the current per diem rates for their instructors when overnight travel is involved.

MICROGRAPHICS AND GOVERNMENT RECORDS. The State Records Center provides a two-hour workshop presenting information about the various microforms available in the industry today. The workshop includes information on micrographic principles, technology and production, state technical standards, procedures to ensure the legal admissibility of microforms, and micrographic systems and equipment. Also included is a basic introduction to micrographics which discusses the advantages and limitations of microfilm, quality controls, suggested specifications for vendor services, state technical standards for in-house operations or micrographic services provided by vendors, and choosing and implementing a micrographic system.

This course is designed for agencies with existing in-house systems, for microfilm operators and supervisors who perform or supervise source document microfilming, and for those who are interested in developing or maintaining micrographic systems.

STRAIGHT TALK ABOUT CONVERTING TO MICROFILM. The State Records Center presents a one-hour presentation in plain language about what microfilming can and cannot do for records keeping in an agency, what is involved in planning for equipment and services, what can be expected from the system, and what is involved in getting ready to convert. Also included is an explanation of terms, a description of the basic components needed for a system (what they will and will not do), personnel and production considerations, questions to ask before ordering anything, and an opportunity to have questions answered by an unbiased source.

This course is designed for supervisors and staff personnel in agencies considering converting to microfilm or who are thinking about purchasing a microfilm system.

RECORDS DISPOSITION. The State Records Center conducts a two-hour workshop presenting the management methods and procedures for controlling through the use of records retention and disposition schedules the active and inactive records in state government offices. Included is information on pertinent laws, the identification of official and nonrecord documents and materials, protecting essential records, determining historical and other record values, disposition procedures, and the relationship of disposition to other records management activities.

This course is designed for all management, staff, and clerical levels in state government agencies engaged in controlling the growth of paperwork.

EFFECTIVE WRITING. The State Records Center provides a four-hour workshop presenting a common-sense system for writing letters and memorandums that are easy to read and understand. This is not a course in grammar but a combination of dos and don'ts, examples, and classroom exercises in writing. The instruction emphasizes the use of shortness, simplicity, strength, and sincerity to produce clear, plain, sensitive, and informative letters.

This course is designed for managers, upper level staff, and supervisors of programs or activities in which corresponding and reviewing the correspondence prepared by others is part of the workload. The workshop may also be used to prepare agency staff members to instruct others in their agency in effective, simple, letter-writing techniques.

FILES AND FILING. The State Records Center gives a three-hour workshop presenting the step-by-step procedures for organizing and maintaining files to establish an efficient, easy to use system. The workshop includes instruction on the following: ordering and using the correct supplies, organizing files by the function they perform, color coding files to increase retrieval speed and reduce misfiles, a single point reference system, eliminating the "General" and "Miscellaneous" files, and generally creating a filing system in which anyone can find a folder.

This course is designed for personnel who perform or supervise filing operations, or the secretary looking for something better than a straight alphabetical filing system. It includes a short, simple laboratory in which attendees create a model file system using points and procedures presented in the workshop.

ESSENTIAL RECORDS PROTECTION

The Department of Cultural Resources and the head of each State agency are required by G.S. 132-8.2 to select and preserve public records considered **essential** to the operation of government and to the protection of the rights and interest of citizens.

This records retention and disposition schedule does not identify the essential records of the Division of Mental Health, Mental Retardation, and Substance Abuse Services. Therefore, the Division of Archives and History strongly recommends that each division office implement a disaster preparedness plan which will safeguard the essential records of the division. This will not be an easy task since managers in each office will have **many** records which they believe are essential to division operations and management. Management should be especially tough minded when selecting essential records. It is unrealistic to believe that all essential public records can be protected, but every effort should be made to develop an optimum division-wide plan. Each division office should strive to protect those records which will permit the resumption of normal operations with a minimum of difficulty after a local or national disaster.

Take these steps to protect your essential (vital) public records:

1. Assign program responsibility to one employee.
2. Identify every essential office record.
3. Know where each essential record is located and where the copies (if any) are stored; which records are on security microfilm and where the film is stored; and which records are on security back-up tape/disk and where the tape/disk is stored.
4. Annotate your records retention and disposition schedule to reflect those records identified as essential.
5. Select a realistic, feasible, protection method.
6. Establish operating procedures.
7. Protect the records.
8. Keep the program up-to-date.

Since the Department of Cultural Resources shares this essential records program responsibility, they encourage each office to contact them [(919) 733-3540] so that a program can be started and operated.

DISASTER ASSISTANCE IS AVAILABLE

Throughout our state's history, state, county, and municipal records have been vulnerable to accidents and natural disasters. Even with modern facilities and improved security and protective measures, public records still are susceptible to fire and water damage, and several disasters involving public records have occurred in other states during recent years. The most common form of disaster has been fire (usually occurring at night or during a weekend). In these instances, valuable and often irreplaceable records that escaped the flames were ruined by water and mud resulting from firefighting. In every case, many records that were irreparably damaged could have been saved if state and local officials had known what to do with damaged records and had acted promptly.

In order to help state, county, and municipal agencies cope with fires, floods, and other disasters involving records, the North Carolina Division of Archives and History has formed a Disaster Preparedness Team. Upon request, members of this team will advise state officials in the retrieval of damaged records. When possible, they will also provide further assistance upon request.

What should you do when a disaster has left you with damaged records? These are the steps to take after the disaster has ended and the question of what to do with the damaged records has to be faced. The first and most important step to take is to notify the Division of Archives and History at (919) 733-3952 immediately. [During nights or weekends, call (919) 469-8176.] Next, secure the area containing records as soon as possible. Don't let anyone but firefighting or other safety personnel into the area. Next, ventilate the area as much as possible. This will delay the growth of mold and make the salvage and restoration of records easier. Finally, and most important - **DON'T LET ANYONE REMOVE OR ATTEMPT TO CLEAN RECORDS.** Damaged records are fragile and attempts to move or clean them may cause unnecessary destruction. Trained personnel normally will be on the scene within hours, and they will direct recovery of records.

BETTER FILES AND FILING

Filing is one of the least popular of office tasks. As a result it is often done haphazardly or avoided altogether. Poor filing can interfere with office operations and application of your records retention and disposition schedule. It will result in costly inefficiencies.

Good filing requires careful planning. It will result in faster retrieval of information, elimination of unneeded records, and significant cost savings through better use of equipment, supplies, and staff time. Everyone's job becomes easier because valuable time is no longer wasted searching in overcrowded cabinets for lost information.

Consider implementing the following filing recommendations in your office:

1. Determine if papers now being created or received really should be filed. (Many records should be placed in temporary files or discarded immediately.)
2. Identify required records. Know what disposal authorizations cover your records (federal regulations, audit requirements, etc.).
3. Avoid duplicate files. Consider the relationship of your files to those in other offices. Whenever possible, eliminate file copies of the same papers that are located in more than one place.
4. Break the extra copy habit. Create only the number of copies actually needed.
5. Stop making copies of form letters. Note on the incoming letter the identification of the form letter sent and the date mailed.
6. Reply on the incoming letter. Routine requests for publications or factual data and intraagency correspondence may be answered on the incoming letter (if permitted by your agency).
7. Review publications. Present the users and your supervisor with a list of periodically-received printed items. With their approval, request the originators to discontinue sending those no longer needed.
8. Break files down into groups. Create additional file groups when they will help finding, filing, and disposal. Addition of a group is governed by adequate volume, ability to recognize the papers, and user needs.

- budget files
- extra convenience copies
- legal files
- legislative files
- office administration files
- personnel files
- public relations files
- special types of records
- subject correspondence
- temporary correspondence

9. Break files into separate folders within file groups. Determine the filing arrangement you will use in each group by the feature of the papers most likely to be known by users.

- persons or organizations
- places
- things
- numbers
- dates
- subjects

10. Index by the second feature most often known by users.
11. Standardize content of case files. Know what information should be in each case file.
12. Standardize alphabetical filing. Select or formulate the rules that will govern your filing and keep a copy of the rules available in your office.
13. Standardize case paper identification. Promote the placing of the case file designation in a specified location on papers.
14. Standardize labeling of file folders, guides, and drawers. Label all file drawers.
15. Segregate, as necessary, case working papers from regular case records.
16. Segregate closed cases from active cases.
17. Regularly retire case files to the State Records Center in accordance with agency retention schedules.
18. Start a new subject file periodically, at least every three years. Retain the old file until reduced reference permits destruction or retirement to the record center in accordance with your agency's records schedule.
19. Prepare an office subject outline for your subjects files.
 - Step 1. List subjects of the records in your office.
 - Step 2. Reconcile your list with office personnel.
 - Step 3. Define all primary topics. Define those subordinate topics needing definitions to ensure consistent application.
 - Step 4. Prepare the office outline.
 - Step 5. Give a copy of the outline to all office employees.

20. Improve your subject filing procedures:

Match the subject content of the letters against the topics in your office subject outline.

Prepare a relative index.

Check the relative index if you are uncertain as to the proper topic to choose.

Select the primary or broad topic if no specific subordinate topic fits. Never use "general" or "miscellaneous" as file headings.

Establish a folder for a subordinate topic when you have accumulated in the broad topic folder papers that fit the subordinate topic.

Use the broad topic if the paper pertains to two or more subordinate topics within the broad topic.

21. Keep reference materials separate if they constitute more than one file drawer or equivalent shelf space. Keep reference publications in binders when possible.

22. Segregate temporary papers from essential records by these methods:

Establish separate file groups for temporary papers.

Place temporary papers in separate folders (with distinctive labels) and file each temporary folder directly behind the related essential folders.

Fasten temporary papers on one side of the folder and the essential papers on the other. This device is used in case files when the temporary and essential papers must be used jointly.

23. Select what you save. Clip articles of interest or make "fast copy" in lieu of saving the entire publication.

24. House clean regularly. Dispose of unneeded reference materials at least annually. Where possible routinely dispose of the oldest periodical as the latest is received.

25. Select the best systems of arrangement for reference materials.

- by subject
- by source
- by type
- by title
- by number

26. Select the best housing for reference materials.

- folders
- binders
- publication boxes
- shelves
- filing cabinets
- bookcases

27. Improve your daily filing practices:

Set aside a certain time each day to file your records.

Make a pre-file check to separate papers into those not to be filed, those to be filed, and those to be filed after further action is taken.

Staple together related incoming and outgoing papers, with the latest date on top. Discard envelopes and other useless papers. Do not use paper clips or rubber bands in files.

Mark file designations. On case file papers, underline the filing designation. On subject file papers, write the file code or other abbreviation for the selected topic in the upper right corner of the paper.

Regularly straighten papers in folders, crease expansion folds on folders to keep papers from hiding labels, check for misfiles, and charge out papers or folders as they are removed from the file.

28. Use letter rather than legal-size equipment and supplies, unless more than 20% of the papers are of legal size.

29. Consider use of shelf files. Weigh advantages of saving equipment, space, and time against the disadvantages of conversion costs and of higher expense for folders and guides.

30. Use the recommended guide cards:

Third cut guide, pressboard, 25 point, metal angular tab--commonly used for subject files.

Fifth-cut guide, pressboard, 25 point, metal angular tab--commonly used for case files.

31. Use the recommended folders:

Kraft, 11 point, third-cut reinforced tab--for most purposes.

Manila, 9.5 point, third-cut nonreinforced tab--for temporary records with limited reference.

Kraft, 18 point, third-cut nonreinforced tab--for heavy duty use.

Pressboard, 25 point, reinforced tab--for unusually heavy duty use.

32. Use the recommended folder labels, self-adhesive with peel-off backing sheet or gummed labels. Color code whenever possible.
33. Study before you buy special equipment.
34. Use out cards to identify records removed from files and individual removing them.

MICROFILM

ADVANTAGES. Microfilm is an economical and practical means of preserving a security copy of essential records, and it is used increasingly by government agencies to eliminate the problem of excess paper.

LEGAL AUTHORITY AND ACCEPTANCE. G.S. 8-45.1 and 153A-436 provide that microfilm copies of public records shall be admissible as evidence in the courts and administrative agencies of the state.

To ensure uniformity and legal acceptability in microfilmed records, certain forms, targets, and procedures should be used when microfilming public records. The Division of Archives and History has published Micrographics Certification and Identification Procedures to aid state, county, and municipal agencies in producing good quality microfilm which meets all legal requirements. Microfilming done by the Division of Mental Health, Mental Retardation, and Substance Abuse Services shall be in accordance with these technical standards before any original public records are destroyed.

TECHNICAL STANDARDS. Certain technical standards must be met to assure quality microforms that are readily reproducible and, where necessary, capable of permanent preservation. There are four basic groups of standards that establish criteria for microfilm to be of archival or permanent quality: the standards for the manufacture of raw film; the standards affecting the method of filming in order to produce good overall results; the standards involved in processing (developing) microfilm; and the standards for the storage of processed microfilm. These standards are listed and explained in the Division of Archives and History's publication, Technical Standards for Micrographics.

SERVICES AVAILABLE. The Division of Archives and History offers free microfilming of records scheduled by them for permanent preservation. The silver original (camera) film will be stored in the Department of Cultural Resources' environmentally controlled vault for security.

Micrographic feasibility studies are provided, on request, to help agencies determine the most cost effective micrographic system to meet their particular needs. Evaluations of existing micrographic applications are performed to ensure that microfilm meets the state technical standards and is of archival quality.

Agencies microfilming their own records should send the silver (camera) film to the Division of Archives and History to be stored for security purposes in the Department of Cultural Resources' vault. The duplicate film can be used in the office as the working copy.

NORTH CAROLINA DEPARTMENT OF CULTURAL RESOURCES
DIVISION OF ARCHIVES AND HISTORY
RECORDS SERVICES BRANCH

REQUEST FOR CHANGE IN RECORDS SCHEDULE

=====

INSTRUCTIONS: Use this form to request a change in the records retention and disposition schedule governing the records of your agency. Prepare in duplicate for each change desired. Send signed original to Records Services Branch, Division of Archives and History, 109 E. Jones Street, Raleigh, NC 27611. Keep a copy for your file. A proposed amendment will be prepared and submitted to the Department of Cultural Resources and your agency for approval. On approval signed copies of the amendment will be furnished to all parties for insertion in their copy of the schedule.

=====

CHANGE REQUESTED (Check one)

☐ Add New Item

☐ Delete Existing Item

☐ Change Retention Period

NAME OF STATE AGENCY, DIVISION, SECTION, BRANCH

TITLE OF RECORDS SERIES IN SCHEDULE OR PROPOSED TITLE

SCHEDULE REFERENCE (If any)

INCLUSIVE DATES OF RECORDS

VOLUME OF RECORDS IN LINEAR INCHES

DESCRIPTION OF RECORDS

PROPOSED RETENTION PERIOD

REASON FOR CHANGE

NAME, TITLE AND SIGNATURE OF REQUESTOR

TELEPHONE NUMBER

DATE

(Reproduce this form as needed)

REQUEST AND APPROVAL OF UNSCHEDULED RECORDS DISPOSAL

Date: _____

To: Assistant Records Administrator
Records Services Branch
N. C. Division of Archives and History
109 East Jones Street
Raleigh, North Carolina 27611

From:

Subject: Request for approval of the disposal of unscheduled public records

In accordance with the provisions of G.S. 121 and 132, approval is requested for the destruction of records listed below. These records have no further use or value for official or administrative purposes.

Type or Print Legibly - - - - - Need Help: Call 733-3540 - - - - - Ask for Records Analyst

Item No.	Record Title and Description	Inclusive Dates	Quantity	*Micro-filmed	Retention Period

*Enter "yes" or "no" if microfilmed or scheduled for microfilming.

Requestor's Signature and Telephone	Title	Date
Signature of approving Institution Official	Title	Date

FOR DEPARTMENT OF CULTURAL RESOURCES USE ONLY

<input type="checkbox"/> Concur		
<input type="checkbox"/> Do Not Concur, Explanation Attached		
Name and Signature	Title	Date
NC Division of Archives and History		

(Reproduce this form as needed)

REQUEST AND APPROVAL OF UNSCHEDULED MACHINE READABLE RECORDS DISPOSAL

Date: _____

To: Assistant Records Administrator
Records Services Branch
N. C. Division of Archives and History
109 East Jones Street
Raleigh, North Carolina 27611

From:

Subject: Request for approval to dispose of electronic data/word processing records and applicable documentation.

In accordance with the provisions of G.S. 121 and 132, approval is requested for the destruction of records listed below. These records have no further use or value for official or administrative purposes.

Type or Print Legibly - - - - Need Help: Call 733-3540 - - - - Ask for Records Analyst

Record Title and Description	Inclusive Dates	Number of		Master (M) or Processing (P) Files		Present Retention Period
		Tapes	Disks	M	P	

Requestor's Signature and Telephone	Title	Date
Signature of approving Institution Official	Title	Date

FOR DEPARTMENT OF CULTURAL RESOURCES USE ONLY

<input type="checkbox"/> Concur		
<input type="checkbox"/> Do Not Concur, Explanation Attached		
Name and Signature	Title	Date
NC Division of Archives and History		

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Director's Office

Item 1. GOVERNOR'S OFFICE FILE. Official copies of correspondence and other information received from or sent to the Governor's Office.

SCHEDULE: Transfer after 2 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 2. DEPARTMENT OF HUMAN RESOURCES FILE. Official copies of correspondence concerning policy and interpretations of policy and reference copies of other information received from the department.

SCHEDULE: Transfer after 2 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 3. MENTAL HEALTH STUDY COMMISSION FILE. Reference copies of correspondence, recommendations, reports, and other information concerning the commission.

SCHEDULE: Transfer after 2 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 4. DIVISION FILE. Official copies of correspondence, recommendations, reports, budget information, and all other records used in the administration of the division.

SCHEDULE: Transfer after 1 year to the appropriate Section of the Division and follow schedule there.

Item 5. ASSOCIATIONS AND ORGANIZATIONS FILE. Reference copies of correspondence and other information concerning citizens' groups and professional organizations with which the division staff is associated.

SCHEDULE: Destroy in the office after 1 year.

Item 6. OTHER STATE AGENCIES FILE. Official copies of correspondence concerning other Department of Human Resources' divisions and other state agencies.

SCHEDULE: Destroy in the office after 2 years.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Director's Office

Item 7. UNIVERSITIES AND COLLEGES FILE. Official copies of correspondence and other information concerning training programs, grants, and "multiversity."

SCHEDULE: Transfer after 1 year to the appropriate Section of the Division and follow schedule there.

Item 8. MEETINGS FILE. Official copies of correspondence, agendas, and other meetings' information.

SCHEDULE: Destroy in the office after 1 year.

Item 9. INTERSTATE COMPACT ON MENTAL HEALTH FILE. Official copies of correspondence and other information concerning the transfer of patients to and from other states. File includes reference copies of clinical information on each patient.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

Item 10. OFFICE ADMINISTRATION FILE. All records used in the administration of the office. File includes travel reimbursement records, requisitions, and various other documents.

SCHEDULE: Destroy in the office after 2 years.

Item 11. READING FILE. Reference copies of all outgoing correspondence.

SCHEDULE: Destroy in the office after 1 year.

Item 12. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Mental Health Study Commission

Item 1. MENTAL HEALTH STUDY COMMISSION FILE. Official copies of minutes, agendas, and supporting documents concerning each commission meeting. File includes audio tapes, attendance records, handouts, correspondence, travel reimbursement records, and various other subject information.

SCHEDULE: Transfer when reference value ends to the State Records Center. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 2. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material and transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Recruitment Director

Item 1. APPLICATIONS AND RESUMES FOR EMPLOYMENT FILE. Official copies of applications or resumes received from applicants who have replied to national advertisements.

SCHEDULE: Transfer applications and resumes of applicants who are under consideration to the office that is recruiting a physician.

Item 2. FISCAL RECORDS FILE. Reference copies of budget-related records concerning fiscal management of the office.

SCHEDULE: Destroy in the office after 2 years.

Item 3. REPORTS FILE. Official copies of recruitment reports forwarded to the Division Director.

SCHEDULE: Destroy in the office after 5 years.

Item 4. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Personnel

Item 1. ACTIVE PERSONNEL FILE. Official copies of personnel records for active employees of the division.

SCHEDULE: Transfer to Inactive Personnel File and follow schedule there when employee terminates service.

Item 2. TITLE XX ACTIVE PERSONNEL FILE. Official copies of personnel records for all active division employees funded by Title XX.

SCHEDULE: Transfer to Title XX Inactive Personnel File and follow schedule there when employee terminates service.

Item 3. INACTIVE PERSONNEL FILE. Official records with all information transferred from the Active Personnel File (item 1).

SCHEDULE: Transfer to the State Records Center for permanent storage 5 years after employee terminates service.

Item 4. TITLE XX INACTIVE PERSONNEL FILE. Official records with all information transferred from the Title XX Active Personnel File (item 2).

SCHEDULE: Transfer to the State Records Center for permanent storage 5 years after employee terminates service.

Item 5. POSITION HISTORY FILE. Folder for each position within the division. File includes reference copies of position descriptions, position classifications, and any other information concerning the position.

SCHEDULE: Transfer to Abolished Positions File and follow schedule there when the position is abolished.

Item 6. TITLE XX POSITION HISTORY FILE. Folder for each position within the division funded by Title XX funds. File includes all information concerning the position.

SCHEDULE: Transfer to Title XX Abolished Positions File and follow schedule there when the position is abolished.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Personnel

Item 7. ABOLISHED POSITIONS FILE. Folders transferred from Position History File (item 5).

SCHEDULE: Destroy in the office after 5 years.

Item 8. TITLE XX ABOLISHED POSITIONS FILE. Folders transferred from Title XX Position History File (item 6).

SCHEDULE: Destroy in the office after 5 years.

Item 9. STATEMENTS FILE. Computer printouts concerning insurance and other payroll deductions.

SCHEDULE: Destroy in the office after 4 years.

Item 10. PERSONNEL CORRESPONDENCE. Official copies of memorandums and correspondence concerning personnel administration.

SCHEDULE: Destroy in the office when administrative value ends but within 5 years.

Item 11. ADMINISTRATIVE FILE. Official copies of legislative increase records and retirement information. File also includes reference copies of vacancy reports, competitive service registers, and other information concerning personnel.

SCHEDULE: Destroy in the office after 3 years.

Item 12. APPLICANT FILE. Official copies of applications for employment.

SCHEDULE: Destroy in the office 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy 1 year after resolution of charge.

Item 13. APPLICANT CARD FILE.

SCHEDULE: Destroy in the office 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in the office 1 year after resolution of charge.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Personnel

Item 14. SEPARATION CARD FILE. File includes employee's name, social security number, salary, classification, separation date, and date records were sent to the State Records Center.

SCHEDULE: Retain in in the office permanently.

Item 15. LEAVE RECORD CARD FILE.

SCHEDULE: Destroy in the office when released from all audits.

Item 16. RECORD OF HOURS WORKED AND LEAVE TAKEN FILE. Official copies of Department of Human Resources forms showing hours worked and leave taken by employees.

SCHEDULE: Destroy active employee records in the office after 2 years. Transfer inactive employee records of separated employees to the appropriate folder in the Inactive Personnel File (Item 3 or 4) and follow schedule there.

Item 17. PERSONNEL CORRESPONDENCE FILE. Official copies of correspondence and other information concerning the Department of Human Resources, the Division of Mental Health, Mental Retardation, and Substance Abuse Services, and the Office of State Personnel.

SCHEDULE: Destroy in the office when administrative value ends but within 2 years.

Item 18. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Deputy Director for Operations

Item 1. COMMISSION CORRESPONDENCE FILE. Reference copies of general correspondence and various other records concerning the Commission for Mental Health, Mental Retardation, and Substance Abuse Services. Official copies are maintained by the "Legislative/Legal Coordinator."

SCHEDULE: Break file periodically into an active and inactive series. Destroy inactive files in the office after 5 years.

Item 2. COMMISSION FOR MENTAL HEALTH AND MENTAL RETARDATION SERVICES FILE. Reference copies of minutes, agendas, and all supporting papers. Official copies and maintained by the "Legislative/Legal Coordinator."

SCHEDULE: Destroy in the office when agency need ends.

Item 3. MENTAL HEALTH CLINICS IN NORTH CAROLINA FILE. Various "historical" data concerning the management style and operations of North Carolina mental health clinics.

SCHEDULE: Series discontinued. Transfer records immediately to the State Records Center. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 4. GASTON-LINCOLN MENTAL HEALTH FACILITY AUDIT REPORT FILE. Reference copies of audit records concerning the 1973-1979 period.

SCHEDULE: Series discontinued. Destroy records in the office immediately.

Item 5. SECOND ANNUAL REVIEW OF THE N.C. STATE PLAN FOR THE PLANNING AND CONSTRUCTION OF COMMUNITY MENTAL HEALTH CENTERS FILE.

SCHEDULE: Series discontinued. Transfer records immediately to the State Records Center. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 6. REGIONAL DIRECTORS RESEARCH FILE. Reference copies of "historical" data concerning regional operations and administration.

SCHEDULE: Series discontinued. Transfer records immediately to the State Records Center. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Deputy Director for Operations

Item 7. GENERAL STATUTES REFERENCE FILE. Official copies of distribution lists, correspondence with publisher, and requests for copies.

SCHEDULE: Destroy in the office when agency need ends but within 5 years.

Item 8. LEGISLATION FILE. Official copies of legislative updates, summaries, and proposals; correspondence concerning specific bills, and committee assignment records.

SCHEDULE: Destroy in the office after 5 years.

Item 9. RECODIFICATION OF G.S. 122 FILE. Official copies of correspondence, input records, work group assignment records, and legislative bills concerning recodification of G.S. 122 entitled "Hospitals for the Mental Disordered."

SCHEDULE: Transfer when reference value ends to the State Records Center. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 10. ATTORNEY GENERAL FILE. Official and reference copies of opinions, requests for opinions, and related correspondence.

SCHEDULE: Destroy in the office when agency need ends.

Item 11. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material and transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Assistant for Regional Operations Office

Item 1. SECTION I, COMMUNITY PROGRAMS FILE. Official copies of files on each of the forty-one area mental health, mental retardation, and substance abuse programs, five mental retardation centers, three alcoholic rehabilitation centers, four state hospitals for the mentally ill, and four regional offices. Files contain correspondence, information on various programs, and other information concerning the administration of the facilities and offices.

SCHEDULE: Transfer after 3 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 2. SECTION II, COMMUNITY PROGRAMS FILE. Official copies of correspondence, memorandums, minutes, and statistical information.

SCHEDULE: Transfer after 3 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 3. SECTION III, COMMUNITY PROGRAMS FILE. Official copies of applications and information concerning associations, organizations, attorney general's opinions, contracts, guidelines, legislation (state and federal), publications, policies, projects, workshops, and conferences.

SCHEDULE: Transfer after 3 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 4. READING FILE. Reference copies of correspondence, memorandums, and all other typed information.

SCHEDULE: Destroy in the office after 2 years.

Item 5. TICKLER FILE. Official copies of folders containing information about various meetings. File also contains folders for various projects due on certain dates.

SCHEDULE: Transfer to appropriate file when information is completed and follow schedule there.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Assistant for Regional Operations Office

Item 6. SUSPENSE FILE. Official copies of files containing memorandums, letters, papers, notes from meetings, etc., for current projects, task forces, and committees, etc.

SCHEDULE: Transfer to appropriate file when action is completed and follow schedule there.

Item 7. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Legislative Liaison/Special Assistant

Item 1. COMMISSION FOR MENTAL HEALTH, MENTAL RETARDATION, AND SUBSTANCE ABUSE SERVICES FILE 1. Official copies of minutes, agendas, and all supporting papers.

SCHEDULE: Transfer periodically to the State Records Center to be microfilmed for security and returned. Transfer a duplicate copy of subsequent minutes to the State Records Center for security storage. Transfer returned records when reference value ends to the State Records Center. Records will then be transferred to the custody of the Archives.

Item 2. COMMISSION CORRESPONDENCE FILE 11. Official copies of correspondence, membership lists, committee data, and other general information.

SCHEDULE: Transfer when reference value ends to the State Records Center. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 3. INDIVIDUAL COMMISSION MEMBERS FILE. Official copies of correspondence, reference copies of travel reimbursement forms, oaths, appointment letters, and any other information concerning members.

SCHEDULE: Destroy in the office 2 years after term of office expires.

Item 4. READING FILE. Reference copies of all outgoing correspondence.

SCHEDULE: Destroy in the office after 4 years.

Item 5. EXECUTIVE STAFF MINUTES FILE. Official copies of minutes and supporting documents of the Executive Staff Committee.

SCHEDULE: Transfer periodically to the State Records Center to be microfilmed for security and returned. Transfer a duplicate copy of subsequent minutes to the State Records Center for security storage. Transfer returned records when reference value ends to the State Records Center. Records will then be transferred to the custody of the Archives.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Legislative Liaison/Special Assistant

Item 6. STATE MANAGEMENT TEAM FILE. Official copies of minutes, supporting documents, and any other information pertaining to the State Management Team.

SCHEDULE: Transfer periodically to the State Records Center to be microfilmed for security and returned. Transfer a duplicate copy of subsequent minutes to the State Records Center for security storage. Transfer returned records when reference value ends to the State Records Center. Records will then be transferred to the custody of the Archives.

Item 7. LEGISLATION - BILLS DEVELOPMENT FILE. Official copies of legislation drafts.

SCHEDULE: Transfer when reference value ends to the State Records Center. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 8. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material and transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Agency Legal Specialist

Item 1. GENERAL SUBJECT FILE. Official and reference copies of interoffice, regional office, division facility, area program correspondence, and various other general subject information.

SCHEDULE: Transfer when reference value ends to the State Records Center. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 2. READING FILE. Reference copies of all outgoing correspondence.

SCHEDULE: Destroy in the office after 1 year.

Item 3. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material and transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Office of Prevention

Item 1. OFFICE OF PREVENTION FILE. Official copies of administrative records concerning personnel, budget, work planning and performance review (WPPR), and weekly reports. File also includes program records which include or concern bibliographies, committees, foundation records, prevention-related articles, correspondence, programs, and projects.

SCHEDULE:

- a. Destroy administrative records in the office after 5 years.
- b. Transfer program records after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 2. DEPARTMENT OF HUMAN RESOURCES FILE. Official copies of correspondence, directives, and other information concerning the Department of Human Resources.

SCHEDULE: Destroy in the office after 5 years.

Item 3. STATE GOVERNMENT FILE. Official copies of correspondence and directives concerning other state agencies.

SCHEDULE: Destroy in the office after 5 years.

Item 4. PRIVATE ORGANIZATIONS AND/OR INDIVIDUALS FILE. Official copies of correspondence and other information from committees, conferences, agencies, and boards.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 5. NATIONAL FILE. Official copies of correspondence and other information concerning tax-supported and private organizations.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Office of Prevention

Item 6. CORRESPONDENCE NOTEBOOK FILE. Reference copies of daily correspondence filed in a notebook.

SCHEDULE: Destroy in the office after 2 years.

Item 7. INTERNATIONAL FILE. Official copies of correspondence concerning international organizations.

SCHEDULE: Destroy in the office after 5 years.

Item 8. NORTH CAROLINA COUNTIES PROFILES FILE. Official copies of folders for each county containing maps, news clippings, and other information concerning counties.

SCHEDULE: Destroy in the office when updated.

Item 9. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Management Services

Item 1. SUBJECT FILE. Official documents concerning operation of the unit. File includes correspondence, minutes, charts, Affirmative Action records, institution files, job studies and descriptions, classification studies, salary information, and various other documents.

SCHEDULE:

- a. Destroy job studies and descriptions, classification studies, and salary information in the office when superseded.
- b. Transfer other records after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 2. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Education and Training

Item 1. EDUCATION AND TRAINING SERVICES SUBJECT FILE. Official copies of documents concerning education and training of staff members. File includes annual statistical reports and division/regional employee training records.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 2. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

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SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Deputy Director for Medical Services

Item 1. SUBJECT FILE. Official copies of documents concerning medical associations, budget, private institutions, other state departments and divisions, division committees, and various health and psychiatric problems. File also includes correspondence with institutions.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 2. AREA PROGRAMS FILE. Official copies of correspondence between the Medical Director and area programs.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 3. READING FILE. Reference (carbon) copies of all outgoing correspondence.

SCHEDULE: Destroy in the office after 2 years.

Item 4. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material and transcribed shorthand notes, and stenographic materials of all types.

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SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Chief of Pharmaceutical Services

Item 1. PHARMACY SERVICES ADMINISTRATIVE FILE. Official copies of articles, lecture information, studies, annual plans, and other information concerning the pharmacy program.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 2. INSTITUTIONS AND COMMUNITY HEALTH CENTERS FILE. Official copies of correspondence and other information concerning pharmacy operations in institutions and community mental health centers.

SCHEDULE: Destroy in the office after 2 years.

Item 3. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Chief of Laboratory Services

Item 1. ADMINISTRATIVE FILE. Official copies of correspondence and other information concerning the administration of the Laboratory Services Program.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 2. LABORATORY REQUESTS AND DEPARTMENT OF HUMAN RESOURCES REPORTS FILE. Official copies of laboratory requests and Department of Human Resources report forms "311-321" received monthly from mental health facilities and mental retardation centers.

SCHEDULE: Destroy in the office after 2 years.

Item 3. LABORATORY STATISTICS COMPUTER PRINTOUTS FILE. Reference copies of computer printouts showing various laboratory statistics.

SCHEDULE: Destroy in the office after 5 years.

Item 4. EQUIPMENT CATALOGS FILE. Reference copies of catalogs.

SCHEDULE: Destroy in the office when obsolete.

Item 5. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Assistant Director for Fiscal and Supportive Services

Item 1. PURCHASE ORDERS FILE. Reference copies of purchase orders.

SCHEDULE: Destroy in the office after 2 years.

Item 2. CONSTRUCTION FILE. Official copies of contracts, change orders, correspondence, and all information concerning construction and renovation projects for facilities administered by the division.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

Item 3. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

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SCHEDULE: Destroy in the office when agency need ends.

Department of of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Reimbursement Services

Item 1. MENTAL HEALTH, MENTAL RETARDATION, AND SUBSTANCE ABUSE SERVICES FACILITY FILE. Official copies of correspondence and other records concerning reimbursement within facilities administered by the division.

SCHEDULE: Destroy in the office when released from all audits.

Item 2. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Nutrition and Dietetics

Item 1. SUMMARY REPORTS FILE. Official copies of reports prepared by the Chief, Nutrition and Dietetics, which summarize projects, activities, and objectives of the annual work plan.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 2. INSTITUTIONAL COST REPORTS FILE. Official copies of documents concerning the costs of dietary departments in each of the thirteen state-operated facilities. Reports are prepared monthly and annually.

SCHEDULE: Destroy in the office after 2 years.

Item 3. COST ANALYSIS REPORTS FILE. Official copies of quarterly and annual cost reports of dietary departments in all state-operated facilities.

SCHEDULE: Destroy in the office after 5 years.

Item 4. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Special Projects

Item 1. INSTITUTIONAL ENERGY MANAGEMENT FILE. Official copies of documents concerning energy project specifications, engineering studies and reports, contracts, grant award notices, and correspondence. File concerns each of the fourteen state-supported institutions.

SCHEDULE: Destroy in the office after 3 years.

Item 2. ENERGY MANAGEMENT SUBJECT FILE. Official documents concerning energy management systems operations. Topics include or concern Alternative Energy Corporation, Carolina Power and Light, cogeneration studies, consultant engineers, contracts (energy engineering studies), Duke Power, ECM contracts/correspondence, energy contracts for ECM development, electrical load management, Energy Development Authority, energy project analysis (preliminary engineering studies), grant awards/correspondence, generator systems surveys, integrated energy systems, metering-testing equipment, newspaper clippings on energy projects implemented, forms (Energy), payback projects, reporting formats (energy), statistical data (energy), travel records (consultant engineers), and training sessions (Physical Plant Directors Meetings).

SCHEDULE: Destroy in the office after 3 years.

Item 3. AREA PROGRAMS TRANSPORTATION PLANS AND BUDGETS FILE. Official copies of plans, budgets, and correspondence for each program. File also includes review recommendations of the Interagency Review Committee.

SCHEDULE: Destroy in the office after 2 years.

Item 4. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Contracts and Grants

Item 1. CONTRACTS FILE. Official and reference copies of personal service contracts for the Raleigh office, regional offices, and all division institutions. File also includes copies of DHR contract approvals for those contracts which required prior approval. Originals of institutional contracts are retained by the institutions. Originals of Raleigh and regional office contracts only retained in these files.

SCHEDULE: Destroy in the office when released from all audits.

Item 2. EDUCATION CONSOLIDATION AND IMPROVEMENT ACT (ECIA) CHAPTERS I AND II FILES. Reference copies of ECIA project applications received from division institutions and Department of Public Instruction (DPI) project approvals. File also includes copies of expenditure records. Official copies of this file series are kept by the Department of Public Instruction (DPI).

SCHEDULE: Destroy in the office when released from all audits.

Item 3. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material and transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Controller

Item 1. LOCAL MENTAL HEALTH CLINICS FILE. Official copies of final and quarterly reports concerning receipts and expenditures for local mental health clinics. File includes budget correspondence, budget, approved annual plan, and contracts.

SCHEDULE: Transfer after 2 years to the State Records Center. Records will be held for agency in the State Records Center 8 additional years and then destroyed.

Item 2. CONSTRUCTION NOTEBOOKS FILE (MENTAL HEALTH CENTERS). Official copies of information concerning federal and state funds used in construction and renovations of mental health centers.

SCHEDULE: Destroy in the office after 5 years.

Item 3. MEMORANDUMS OF UNDERSTANDING FILE (MENTAL HEALTH CENTERS). Official copies of memorandums of understanding with local mental health centers.

SCHEDULE: Destroy in the office 3 years after agreement is no longer in effect.

Item 4. AUDITS FILE (MENTAL HEALTH CENTERS). Official copies of correspondence, audit reports, and other information concerning on-going audits by the Department of Human Resources in local mental health centers.

SCHEDULE: Destroy in the office when administrative value ends but within 5 years.

Item 5. TENTATIVE SETTLEMENT REPORTS FILE. Official copies of annual reports for mental health centers.

SCHEDULE: Destroy in the office when administrative value ends but within 5 years.

Item 6. AUDITS FILE (INSTITUTIONS). Official copies of audit reports prepared by the Department of Human Resources for institutions administered by the Division of Mental Health, Mental Retardation, and Substance Abuse Services.

SCHEDULE: Destroy in the office when updated report is received.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Controller

Item 7. INSTITUTIONS CORRESPONDENCE FILE. Official copies of correspondence, budget information, and other information pertaining to an institution.

SCHEDULE: Destroy in the office after 5 years.

Item 8. MEDICARE/MEDICAID FILE. Official copies of cost reports and charge computations for institutions.

SCHEDULE: Destroy in the office after 5 years.

Item 9. DEVELOPMENTAL DISABILITIES SERVICES ACT (DDSA) FILE. Official copies of correspondence, payment records, quarterly reports, and other information pertaining to funding.

SCHEDULE: Series discontinued. Transfer records immediately to the State Records Center. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

Item 10. TITLE XX FILE. Official copies of contracts, correspondence, budget information, and program information concerning Title XX. File includes the following subjects:

- a. General Correspondence
- b. Total Cost Budgets
- c. Adult Development Action Program (ADAP)
 Payment Sheets
- d. Day Care Payment Sheets
- e. Total Cost Payment Sheets
- f. Cost Settlements
- g. Community Living Skills (CLS)

SCHEDULE: Transfer after 2 years to the State Records Center. Records will be held for agency in the State Records Center 3 additional years and then destroyed.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Controller

Item 11. HUGHES FILE. Official copies of budget and other information concerning the Hughes Grant.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

Item 12. MANUALS FILE. Reference copies of manuals created by the Controller's Office concerning budgetary matters.

SCHEDULE: Destroy in the office when reference value ends but within 5 years.

Item 13. CONTRACTS FILE. Official copies of consultant contracts.

SCHEDULE: Destroy in the office 3 years after termination of contract.

Item 14. DUAL EMPLOYMENT FILE. Official copies of employment records and other information pertaining to dual employment.

SCHEDULE: Destroy in the office 1 year after termination of dual employment.

Item 15. FEDERAL FILE. Official copies of correspondence, reports, and guidelines concerning the Children's Services Program.

SCHEDULE: Destroy in the office when released from all audits.

Item 16. INDIRECT COST FILE. Official copies of working papers used to determine indirect costs for institutions and the division.

SCHEDULE: Destroy in the office after 20 years.

Item 17. MISCELLANEOUS SUBJECT FILE. Official copies of correspondence and general information used in the administration of the branch.

SCHEDULE: Destroy in the office when administrative value ends but within 5 years.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Controller

Item 18. REVERSIONS FILE. Official copies of schedule of funds reverting to another year.

SCHEDULE: Destroy in the office after 5 years.

Item 19. BUDGET FILE. File includes or concerns reversions, outstanding and deferred obligations, and budgetary deficiencies.

SCHEDULE: Destroy in the office after 5 years.

Item 20. VOUCHERS FILE. Official blue copies of vouchers with supporting material attached.

SCHEDULE: Transfer after 2 years to the State Records Center. Records will be held for agency in the State Records Center 4 additional years and then destroyed.

Item 21. WARRANT REGISTERS FILE.

SCHEDULE: Transfer after 2 years to the State Records Center. Records will be held for agency in the State Records Center 4 additional years and then destroyed.

Item 22. DEPOSITS FILE. Official blue copy of deposit slip with attachments.

SCHEDULE: Transfer after 2 years to the State Records Center. Records will be held for agency in the State Records Center 4 additional years and then destroyed.

Item 23. BUDGET REQUEST FILE (A and B).

a. Maintenance Codes

b. Capital Improvement Codes

SCHEDULE: Destroy in the office when fiscal value ends but within 5 years.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Controller

Item 24. MONTHLY REPORTS ON THE BUDGET FILE.

- a. Maintenance Codes
- b. Capital Improvement Codes

SCHEDULE: Destroy in the office when released from all audits.

Item 25. GUIDELINES FILE. Reference copies of guidelines concerning fiscal management.

SCHEDULE: Destroy in the office when updated.

Item 26. PERSONNEL FILE. Reference copies of personnel action records and other information pertaining to branch employees. File also includes official copies of leave requests and applications for persons not hired.

SCHEDULE:

- a. Transfer leave requests after 1 year to the Division Personnel Office.
- b. Destroy applications for persons not hired in the office 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in the office 1 year after resolution of charge.
- c. Transfer all other records to the agency personnel office 1 year after employee terminates service. Agency personnel office will incorporate records into official file and destroy duplicate material.

Item 27. PAYROLL REGISTERS.

SCHEDULE: Destroy in the office when released from all audits.

Item 28. PAYROLL CORRESPONDENCE FILE. Official and reference copies of correspondence concerning payments.

SCHEDULE: Destroy in the office when administrative value ends but within 5 years.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Controller

Item 29. SUPPORTING TIME SHEETS FILE.

SCHEDULE: Destroy in the office when released from all audits.

Item 30. SCHOLARSHIP FILE. Official copies of correspondence, applications, references, and other records concerning the scholarship program.

SCHEDULE: Destroy in the office 4 years after loan has been repaid.

Item 31. UNEMPLOYMENT INSURANCE FILE (FEDERAL). Official copies of deposit slips, correspondence, and checks concerning federal grant funds for unemployment.

SCHEDULE: Destroy in the office when released from all audits.

Item 32. COMPREHENSIVE HEALTH BENEFIT PLAN FILE. Official copies of statements from the Comprehensive Health Benefit Plan concerning employee accounts.

SCHEDULE: Destroy in the office after 5 years.

Item 33. DRUG ABUSE PREVENTION AND TREATMENT SERVICES FILE. File includes or concerns the following:

- a. General Correspondence.
- b. Division and Other Agencies Contracts. File folder for each contract between the Division of Mental Health, Mental Retardation, and Substance Abuse Services and other agencies. File includes copy of contract, record of payments and expenditures, and correspondence.
- c. Statewide Services Contractors. File folder for each contractor. File includes copy of budget, record of payments and expenditures, correspondence, and site visit reports.
- d. Community-Based Programs. File folder for each community-based program. File includes copy of budget, record of expenditures, and correspondence.

SCHEDULE: Transfer after 2 years to the State Records Center. Records will be held for agency in the State Records Center 3 additional years and then destroyed.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Controller

Item 34. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Controller-Title XX

Item 1. TITLE XX FORMS, GUIDELINES, AND MANUALS FILE. Official copies of forms, guidelines, and manuals concerning the Title XX Branch.

SCHEDULE: Destroy in the office when administrative value ends but within 5 years.

Item 2. TITLE XX TOTAL COST PROGRAMS FILE. Official copies of applications, agreements, and correspondence concerning the Title XX Branch.

SCHEDULE: Transfer after 2 years to the State Records Center. Records will be held for agency in the State Records Center 4 additional years and then destroyed.

Item 3. GENERAL FILE. Official copies of travel records, time sheets, general correspondence, printing requests, and other material concerning routine tasks of the Title XX Branch.

SCHEDULE: Destroy in the office after 2 years.

Item 4. ADMINISTRATIVE FILE. Official copies of vendor contracts, amendments, and monitoring files for both vendor and total cost programs.

SCHEDULE. Transfer after 2 years to the State Records Center. Records will be held for agency in the State Records Center 4 additional years and then destroyed.

Item 5. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

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SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Data Processing

Item 1. SOFTWARE DOCUMENTATION FILE. Reference copies of systems documentation as well as operator manuals for division-wide software applications.

SCHEDULE: Destroy in the office when agency need ends.

Item 2. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material and transcribed shorthand notes, and stenographic materials of all types.

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SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Mental Health Services

Item 1. CORRESPONDENCE AND PROGRAM MATERIALS FILE. Official copies of correspondence and other information concerning the administration of the mental health program within the state.

SCHEDULE: Destroy in the office when administrative value ends but within 3 years.

Item 2. COMMITTEES, COUNCILS AND MEETINGS FILE. Official copies of correspondence, minutes, and other information from committees, councils, and meetings attended by the Deputy Director for Mental Health Services. File includes "multiversity" information.

SCHEDULE: Transfer after 3 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 3. HOSPITALS AND CENTERS FILE. Official copies of correspondence, survey information, hospital by-laws, Joint Commission on Accreditation of Hospitals (JCAH) correspondence, Medicare/Medicaid approvals, and any other information concerning mental health hospitals and centers in the state.

SCHEDULE: Transfer after 3 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 4. GERIATRIC SERVICES FILE. Official copies of correspondence concerning geriatric services in mental health hospitals. File includes papers or summaries regarding geriatric services and section correspondence.

SCHEDULE: Transfer after 3 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 5. CHILD MENTAL HEALTH FILE. Official copies of correspondence concerning children's mental health.

SCHEDULE: Transfer after 3 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Mental Health Services

Item 6. ADULT MENTAL HEALTH SERVICES FILE. Official copies of correspondence concerning patient standards, program descriptions, and adult services in institutions. File also includes reference copies of committee reports and minutes concerning patients and institutions.

SCHEDULE: Transfer after 3 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 7. COMMUNITY SUPPORT PROGRAM (CSP) FILE. CSP is a five-year federal grant awarded to the division to stimulate interest and promote development of comprehensive community support services for chronically mentally ill persons. File includes correspondence relating to all activities of the CSP Grant and minutes of the CSP Advisory Council.

SCHEDULE: Transfer when reference value ends to the State Records Center. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 8. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

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SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Mental Retardation Services

Item 1. DEPUTY DIRECTOR FILE. Official documents concerning section responsibilities and assignments. File includes or concerns each of the five regional mental retardation centers, each region, ongoing committee and task force work, work planning and performance review, annual reports, budget information, and program development.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 2. MENTAL RETARDATION LAWSUITS FILE. Official and reference copies of legal documents concerning suits filed against the state about mental retardation. File also includes other states' suits which affect North Carolina.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 10 additional years and then transferred to the custody of the Archives.

Item 3. ASSISTANT DEPUTY DIRECTOR FILE. Official documents concerning program development, section responsibilities, and assignments. File includes HUD project development records, program files, budget materials, committee and task force drafts, news clippings, and program literature.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 10 additional years and then transferred to the custody of the Archives.

Item 4. RESIDENTIAL SERVICES FILE. Official documents concerning program development, responsibilities, assignments, and the ongoing operations of mental retardation institutions, group homes, and residential services. File includes or concerns reference materials on institutions, group homes, ICF/MR development and regulations, task force reports, population surveys, studies, and personnel records.

SCHEDULE: Destroy in the office after 5 years.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Mental Retardation Services

Item 5. DAY SERVICES CHIEF FILE. Official files concerning Day Services Section responsibilities. File includes various subject documents concerning children and adult day services, correspondence, and estate records.

SCHEDULE: Destroy in the office after 5 years.

Item 6. DAY SERVICES SPECIALIST FILE. Official documents concerning day services, disabilities, and organizations that serve the mentally retarded. File includes correspondence, publications, and management training records.

SCHEDULE: Destroy in the office after 5 years.

Item 7. SUPPORT SERVICES CHIEF FILE. Official documents concerning Support Services responsibilities. File concerns CAP/MR, respite, case management, and in-home support.

SCHEDULE: Destroy in the office after 5 years.

Item 8. SUPPORT SERVICES SPECIALIST FILE. Official documents concerning programs and services related to mental retardation and developmental disabilities.

SCHEDULE: Destroy in the office after 5 years.

Item 9. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

"Willie M." Services

Item 1. OFFICE REFERENCE FILE. Official documents concerning travel, personnel, correspondence, and mailing list.

SCHEDULE: Destroy in the office after 5 years.

Item 2. PROGRAM CORRESPONDENCE FILE. Official documents concerning the ongoing activities of the program. File details the outcome and results of the program due to the "Willie M." lawsuit.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 3. CLIENT CASE FILE. Official documents concerning children who have been certified as "Willie M." class members and children who were nominated as "Willie M." class members but denied certification. "Willie M." refers to a class action suit alleging inappropriate treatment of children who are emotionally disturbed and assaultive.

SCHEDULE: Retain in office files until child reaches 18 years of age, then transfer to "Aged Out" file. Transfer "Aged Out" file after 1 year to the State Records Center. Records will be held for the agency in the State Records Center 25 additional years and then destroyed.

Item 4. LAWSUIT FILE. Official copies of correspondence, memorandums, and legal documents concerning the "Willie M." case.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 5. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Willie M. Review Panel

Item 1. REVIEW PANEL MONITORING ACTIVITIES FILE. Reference copies of child-specific notes on services provided to class members by local mental health facilities and school systems (from on-site visits); notes from visits to all local programs concerning service components and organization (283); child-specific notes on services provided to class members prior to age 18; computer printouts (client list and status code, monthly list of services provided to individuals, list of education services, special computer reports); files requesting assistance for individual class members; working drafts, summaries, and follow-up notes on reports generated by the "Willie M." Programs office.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 2. LEGAL DOCUMENTS FILE. Official and reference copies of orders entered by U.S. District Court for the Western District of North Carolina, motions filed by defendants or plaintiffs, and depositions and stipulations in the matter of Willie M., et al. verses Martin, et al.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 3. COURT REPORTS FILE. Official copies of eight reports prepared by the Review Panel for U.S. District Court for the Western District of North Carolina reporting on defendants' (State) compliance in the "Willie M." lawsuit.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 4. REVIEW PANEL MINUTES FILE. Official copies of Review Panel meeting minutes.

SCHEDULE: Transfer periodically to the State Records Center to be microfilmed for security and returned. Transfer a duplicate copy of subsequent minutes to the State Records Center for security storage. Transfer returned records when reference value ends to the State Records Center. Records will then be transferred to the custody of the Archives.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Willie M. Review Panel

Item 5. CORRESPONDENCE FILE. Official and reference copies of outgoing and incoming correspondence with Department of Human Resources, Department of Public Instruction, governor, Division of Mental Health, Mental Retardation, and Substance Abuse Services, Area Mental Health facilities, "Willie M." Programs, plaintiffs, and the court. File also includes miscellaneous correspondence.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 6. SUBJECT FILE. Reference copies of program/service reports, certification list, budget/planning reports, newspaper clippings, program descriptions, journal articles generated by other state agencies and local or private service providers; and various other subject files on issues related to the "Willie M." program.

SCHEDULE: Review in the office annually. Destroy records in the office over 5 years old.

Item 7. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material and transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Deputy Director for Alcohol and Drug Services' Office

Item 1. ALCOHOL AND DRUG SOURCES FILE. Official copies of correspondence, committee reports, minutes, and all information concerning alcohol and drugs.

SCHEDULE: Transfer after 3 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 2. SCRAPBOOKS FILE. Newspaper clippings and other information concerning the alcohol and drug program.

SCHEDULE: Transfer when reference value ends to the State Records Center. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 3. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Program Support Branch

Item 1. OFFICE SUBJECT FILE. Official documents concerning administration and operation of the branch. Subjects include the following: administrative, Alcohol Rehabilitation Centers, Area Programs, certification, Mental Health Study Commission, Mental Health Commission, Mental Health Services Section, mental retardation, public information, planning, program services, prevention, professional organizations, quality assurance, regions, research, Social Services, standards, statistics, third party funding, training, and Veterans Administration.

SCHEDULE: Review annually. Destroy records in the office over 2 years old.

Item 2. METHADONE FILE. Official documents concerning approval and enforcement of federal methadone regulations. File concerns individual programs at seven sites throughout the state. Each program file includes folders labeled application, general, inspection, and relocation. File also includes annual reports, applications withdrawn, death records, general correspondence, hospital information, and inspection format.

SCHEDULE:

- a. Review correspondence annually. Destroy records in the office over 5 years old.
- b. Destroy remainder in the office when superseded.

Item 3. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Regulatory Branch

Item 1. REGISTRANTS FILE (NURSING HOMES, HOSPITALS, CLINICS, AND TEACHING INSTITUTIONS). Registration is required by the North Carolina Controlled Substances Act. Official copies of application for registration (certificate of registration attached), inspection reports, destruction of drugs forms, investigation of thefts records, and methadone reports.

SCHEDULE:

- a. Retain initial application and certificate of registration in the office permanently.
- b. Destroy inspection reports in the office after 5 years.
- c. Destroy drug destruction reports in the office after 2 years.
- d. Destroy all other records in the office after 5 years.

Item 2. REGISTRANTS FILE (RESEARCHERS, MANUFACTURERS, DISBRIBUTORS, ANALYSIS LABORATORIES). These facilities are registered by the Federal Drug Administration. Reference copies of application for registration and certificate of registration. File may include inspection reports, drug destruction reports, and correspondence.

SCHEDULE:

- a. Retain initial application and certification of registration in the office permanently.
- b. Destroy inspection reports in the office after 5 years.
- c. Destroy drug destruction reports in the office after 2 years.
- d. Destroy all other records after 5 years.

Item 3. DRUG ENFORCEMENT ADMINISTRATION PRINTOUT FILE. Agency copies of printouts from the Federal Drug Enforcement Administration listing registrants with the authority to dispense controlled substances. Printout is used to verify registration numbers.

SCHEDULE: Transfer to the State Records Center to be shredded when updated printouts are received.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Regulatory Branch

Item 4. INVESTIGATIVE FILE. Confidential file containing information on investigations of physicians, nurses, pharmacists, etc., for the diversion of controlled substances. File includes investigation reports and memorandums sent to the appropriate licensing board.

SCHEDULE: Destroy in the office after 10 years.

Item 5. DRUG DESTRUCTION FOR NON-REGISTRANTS FILE. Official copies of drug destruction reports for non-registrants.

SCHEDULE: Destroy in the office after 2 years.

Item 6. COMPLIANCE FILE. Official copies of correspondence and memorandums concerning compliance with the N.C. Controlled Substances Act. File includes correspondence with other state agencies, state boards, and with the Drug Enforcement Administration. File also includes inspector's weekly reports and copies of the Federal Register.

SCHEDULE:

- a. Destroy inspector's weekly reports in the office after 2 years.
- b. Destroy all other records in the office when administrative value ends but within 3 years.

Item 7. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Occupational Programs Branch

Item 1. OCCUPATIONAL PROGRAMS CORRESPONDENCE FILE. Official copies of correspondence concerning the program.

SCHEDULE: Destroy in the office after 5 years.

Item 2. GENERAL OCCUPATIONAL PROGRAMS FILE. Official and reference copies of training information, statistics, evaluations, and other records used in the administration of the program.

SCHEDULE: Destroy in the office when administrative value ends but within 3 years.

Item 3. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

DWI/Criminal Justice Branch

Item 1. DWI/DES OFFICE ADMINISTRATION FILE. Official copies of records concerning personnel, jobs, printing, requisitions, travel, procedures, WPPR, forms, and maps.

SCHEDULE Transfer when reference value ends to the State Records Center. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 2. DRIVING WHILE IMPAIRED (DWI) PROGRAM FILE. Official copies of documents concerning program management, ADETS schools, training, and statistics.

SCHEDULE: Destroy in the office when agency need ends but within 2 years.

Item 3. DWI CORRESPONDENCE FILE. Official copies of general correspondence concerning the DWI program.

SCHEDULE: Destroy in the office after 2 years.

Item 4. DWI INSTRUCTOR CERTIFICATION FILE. Official copies of certification records for each instructor. File includes resumes, certification information and dates, records relating to credits earned toward recertification, addresses, and various other data.

SCHEDULE: Break into active and inactive files. Destroy inactive files in the office after 3 years.

Item 5. DRUG EDUCATION SCHOOL (DES) PROGRAM FILE. Official copies of documents concerning program administration, statistics, resources, certification, and training.

SCHEDULE: Destroy in the office after 2 years.

Item 6. DES CORRESPONDENCE FILE. Official copies of general correspondence concerning DES program administration.

SCHEDULE: Destroy in the office after 2 years.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

DWI/Criminal Justice Branch

Item 7. DES INSTRUCTOR CERTIFICATION FILE. Official copies of certification records for each instructor. File includes resumes, certification information and dates, records relating to credits earned toward recertification, addresses, and various other data.

SCHEDULE: Break into active and inactive files. Destroy inactive files in the office after 3 years.

Item 8. DES AREA PROGRAM FILE. Official documents concerning each program. File includes correspondence, instructor certification records, court referrals, and site reviews.

SCHEDULE: Destroy in the office after 5 years.

Item 9. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, and transcribed shorthand notes and stenographic materials for all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Assistant Director for Quality Assurance Office

Item 1. DEPARTMENT AND DIVISION FILE. Official and reference copies of correspondence, memorandums, and other information concerning the department and the division.

SCHEDULE: Destroy in the office after 4 years.

Item 2. QUALITY ASSURANCE SECTION FILE. Official copies of correspondence concerning programs and the administration of the Quality Assurance Section.

SCHEDULE: Transfer after 5 years to the State Records Center... Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 3. OTHER AGENCIES FILE. Official and reference copies of correspondence and other information concerning other state and federal agencies.

SCHEDULE: Destroy in the office when administrative value ends.

Item 4. OFFICE ADMINISTRATION RECORDS FILE. All records and materials created and accumulated in the performance of routine tasks and in the administration of secondary office programs and responsibilities.

SCHEDULE: Destroy in the office after 2 years.

Item 5. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, and transcribed shorthand notes and stenographic materials for all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Chief of Planning

Item 1. ANNUAL PLAN OF WORK FILE. Official copies of Annual Plan of Work for the division.

SCHEDULE: Transfer after 2 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 2. PRINTED REPORTS FILE. Official copies of annual reports, needs assessments, and grant proposals.

SCHEDULE:

- a. Transfer annual reports after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.
- b. Destroy needs assessments and grants proposals in the office after 5 years.

Item 3. SIX YEAR PLAN FILE. Official copies of Six Year Plan for the division.

SCHEDULE: Transfer after 7 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 4. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, and transcribed shorthand notes and stenographic materials for all types.

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SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Chief of Program Review

Item 1. SURVEY FILE (AREA REVIEWS). Official copies of documents concerning deficiencies, follow-up, and all other information used in the review process.

SCHEDULE: Destroy oldest survey file in the office after 5 years.

Item 2. MEETINGS FILE. Reference copies of correspondence and other information concerning meetings attended by the program review chief.

SCHEDULE: Review annually. Destroy records in the office with no administrative value.

Item 3. QUALITY ASSURANCE REFERENCE FILE. Reference copies of articles used for reference by the Chief of Program Review.

SCHEDULE: Destroy in the office after 10 years.

Item 4. PROFESSIONAL FILE. Official and reference copies of correspondence and other information used in the administration of the Program Review Branch.

SCHEDULE: Review annually. Destroy records in the office with no administrative value.

Item 5. CLINICAL STUDIES FILE. Reference copies of clinical studies conducted by the Quality Assurance Section.

SCHEDULE: Destroy in the office after 3 years.

Item 6. PRISON SURVEY REPORTS FILE. Official copies of individual prison surveys, annual reports, correspondence, and all other information used in the survey process.

SCHEDULE: Transfer when reference value ends to the State Records Center. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Chief of Program Review

Item 8. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, and transcribed shorthand notes and stenographic materials for all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Chief of Standards

Item 1. STANDARDS ADMINISTRATIVE FILE. Reference copies of correspondence and other information concerning the administration of the Standards Office.

SCHEDULE: Review every 2 years. Destroy records in the office with no administrative value.

Item 2. OFFICE AUTOMATION SYSTEM FILE. Official copies of minutes of Office Automation Committee, guidelines for utilization of Office Automation System - Quality Assurance Section, and various other information concerning the operation of the system.

SCHEDULE: Review every 2 years. Destroy records in the office with no administrative value.

Item 3. COMMISSION FOR MENTAL HEALTH, MENTAL RETARDATION, AND SUBSTANCE ABUSE SERVICES FILE. Official copies of lists of commission members, minutes and agendas of Standards Committee meetings, correspondence concerning the Standards Committee, and motions for adoption of standards by the Commission for MH/MR/SAS.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 4. DIVISIONAL STANDARDS COMMITTEE FILE. Official copy of lists of committee members, minutes and agendas of committee meetings, and correspondence.

SCHEDULE: Destroy in the office when administrative value ends.

Item 5. AREA PROGRAM STANDARDS FILE. Official copies of documents concerning the history of the development of area program standards in the division beginning in 1973. File includes drafts of revisions and correspondence relating to revisions.

SCHEDULE: Destroy in the office when administrative value ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Chief of Standards

Item 6. LICENSURE FILE. Drafts of revisions in licensure regulations for community mental health, mental retardation, and substance abuse facilities; correspondence relating to revisions; Memorandum of Understanding between the Division of Mental Health, Mental Retardation, and Substance Abuse Services and the Division of Facility Services, and other correspondence relating to licensure functions.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 7. DEPARTMENT OF HUMAN RESOURCES FILE. Reference copies of directives, policy information, and administrative standards.

SCHEDULE: Destroy in the office when superseded.

Item 8. AGENCIES FILE. Official copies of correspondence between the Standards Office and other agencies. File includes standards of other agencies.

SCHEDULE: Review every 2 years. Destroy records in the office with no administrative value.

Item 9. PUBLIC RELATIONS FILE. Reference copies of publications, charts, and other printed material accumulated when the Chief of Standards served as Public Relations Officer for the division.

SCHEDULE: Destroy in the office when reference value ends.

Item 10. LEGISLATIVE FILE. Reference copies of bills concerning mental health, mental retardation, and substance abuse.

SCHEDULE: Destroy in the office when reference value ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Chief of Standards

Item 11. PROGRAM REVIEW FILE. Official copies of data concerning reviews of area programs.

SCHEDULE: Review every 2 years. Destroy records in the office with no administrative value.

Item 12. ADMINISTRATIVE PROCEDURE ACT (APA) FILE. Official copies of correspondence, memorandums, and other information concerning the Administrative Procedure Act.

SCHEDULE: Review every 2 years. Destroy records in the office with no administrative value.

Item 13. ADMINISTRATIVE PUBLICATION SYSTEM (APS) FILE. Official copies of drafts of the proposed system, regulations describing the system, and other information pertaining to the system.

SCHEDULE: Review every 2 years. Destroy records in the office with no administrative value.

Item 14. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, transcribed shorthand notes, and stenographic materials for all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Publications Officer

Item 1. ADMINISTRATIVE PROCEDURE ACT (APA) FILE.

a. Public Rule-Making Hearings File. Official files of each public rule-making hearing for both the Division Director and the Commission for Mental Health, Mental Retardation, and Substance Abuse Services. File contains the following:

1. Budget agenda forms for DHR and the Office of State Budget estimating any cost associated with the proposed adoption, amendment or repeal of a rule.
2. A copy of the notice of public hearing.
3. Copies of the proposed rules.
4. Correspondence with newspapers (submitting notice for publication).
5. Correspondence with Commission members, local area programs, the Division's State Management Team, Division institution directors, and members of the public concerning the proposed rules.
6. A transcript or tape of the public hearing providing a record of oral comments presented.
7. Copies of any written comments submitted for the hearing.
8. A copy of the official motion for action on the rules from either the Standards or Rules Committees of the Commission (for Commission rules).
9. Sometimes contains a copy of the minutes of previous Commission meetings showing action on rules at that meeting.

For each public hearing file there is a supplementary file which contains APS routing sheets that were returned from Division and area program offices indicating receipt of hearing notice and proposed rules.

SCHEDULE: Transfer public hearing file and supplementary routing sheet file to the State Records Center after 5 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Destroy routing sheets file in the office.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Publications Officer

Item 1. ADMINISTRATIVE PROCEDURE ACT (APA) FILE (continued).

b. Contested Case Appeals Hearings File. Official records concerning contested case hearings for which the Publications Officer served as the official hearing officer. File contains the following:

1. A copy of the request for a hearing.
2. All other correspondence related to the hearing.
3. A transcript or tape of the hearing.
4. Copies of all information submitted as evidence.
5. A copy of the "Proposal for Decision."
6. A record of written or oral arguments presented prior to the final decision.
7. A copy of the "Final Agency Decision."

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

c. Rules and Certification Forms Submitted to the Attorney General's Office File. Official copies of certification forms and rules that must be submitted to the Attorney General's Office to adopt, amend, or repeal a rule in the N.C. Administrative Code. File also contains additional copies of rules with markings to indicate what changed ("green and yellow marking"). The originals go to the APA Section of the Attorney General's Office. A signed carbon from the Attorney General's Office is placed in the file to indicate that the rule was accepted for filing.

SCHEDULE: Destroy in the office 5 years after rules are superseded or rescinded.

d. Line-Numbered Printouts of Division Rules in the N.C. Administration Code Received from the Attorney General's Office File. Official copies of the chapters of the official N.C. Administrative Code that contain rules adopted for the Division by the Division Director or the Commission.

SCHEDULE: Destroy in the office 5 years after superseded or rescinded.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Publications Officer

Item 1. ADMINISTRATIVE PROCEDURE ACT (APA) FILE (continued).

e. Reports and Studies Related to the APA and Division Rules File. Official copies of studies and reports related to APA and Division rules that are usually prepared at the direction of the General Assembly, the Department of Human Resources, or the Division Director.

SCHEDULE: Destroy in the office when reference value ends but within 5 years.

Item 2. ADMINISTRATIVE PUBLICATIONS SYSTEM (APS) FILE.

a. Copies of Official Policies and Procedures of the Division of Mental Health, Mental Retardation, and Substance Abuse Services File. Official copies of documents issued under the Administrative Publications System. File includes division policies (including APA rules), procedures, manuals, and pamphlets (guidelines).

SCHEDULE: Transfer one official copy of all current policies and procedures in the APS to State Records Center for security storage. Maintain copies of all current policies and procedures in agency as long as they are in effect, then destroy in the office. After new or revised policies or procedures are approved, transfer a security copy to State Records Center when copies are distributed to the Division's State Management Team.

b. History Files for Each Publication in the Administrative Publications System File. Official documents concerning each policy or procedure in the APS. File contains copies of all drafts of the publication, originals of all concurrences and/or comments obtained in the review and endorsement process, signed APS routing sheets, and appropriate background information.

SCHEDULE: Destroy in the office when reference value ends but retain no longer than 1 year after policy or procedure is rescinded.

c. Distribution and Receipt Files for Each Publication File. Official copies of the memorandums distributing each publication and the returned slips from offices and programs indicating they received the publication.

SCHEDULE: Destroy in the office after 5 years.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Publications Officer

Item 3. RULES COMMITTEE OF THE COMMISSION FOR MENTAL HEALTH, MENTAL RETARDATION, AND SUBSTANCE ABUSE SERVICES FILE. Files provide a record of each meeting of the Rules Committee and contain the following information:

- a. Minutes of the meeting with supporting documents.
- b. Agenda for the meeting.
- c. Correspondence related to the meeting.
- d. Background or supplementary information for the meeting.

SCHEDULE: Transfer minutes and supporting documents of all meetings to date to the State Records Center to be microfilmed and returned. Transfer 1 official copy of minutes and supporting documents of future meetings to the State Records Center for security storage when distributed to the Committee. Destroy returned records and other documents in the office when administrative value ends but within 5 years.

Item 4. PUBLICATIONS OFFICE MISCELLANEOUS FILES. Official copies of general correspondence, information concerning training sessions conducted on the Administrative Publications System and the Administrative Procedure Act, general information on policy development, and workshops information.

SCHEDULE: Destroy in the office when administrative value ends but within 5 years.

Item 5. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, and transcribed shorthand notes and stenographic materials for all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very-short term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Client Information

Item 1. MONTHLY REPORTS FILE. Official copies of monthly reports from all area programs and institutions.

SCHEDULE:

- a. Destroy area program reports in the office after 1 year.
- b. Transfer institution reports after 10 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 2. WORK PROJECT REQUESTS FILE. Official copies of data requests prepared by statisticians. File includes data requests, correspondence, working papers, and copy of official cover sheet.

SCHEDULE: Destroy in the office after 5 years.

Item 3. ORIGINALS FILE. Official copies of forms and manuals that are printed for the facilities.

SCHEDULE: Transfer one copy of each manual to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Destroy remainder in the office when superseded or when reference value ends.

Item 4. PROTOCOLS FILE. Official copies of protocols of forms and other statistical data. File includes manuals for keypunching and filling out forms in facilities.

SCHEDULE: Destroy in the office after 5 years.

Item 5. IDENTIFICATION/FACE SHEET - FORM B FILE. Official copies of documents concerning admissions and terminations for all area programs. Information is received weekly from area programs over the state. Area program information is keypunched.

SCHEDULE: Destroy in the office after 2 months.

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Division of Mental Health, Mental Retardation, and Substance Abuse Services

Client Information

Item 6. REFERENCE FILE. Official copies of reference materials used by the Client Information Branch.

SCHEDULE: Destroy in the office after 3 years.

Item 7. PERSONNEL FILE. Reference copies of personnel files for each employee of the Client Information Branch.

SCHEDULE: Transfer to the agency personnel office 1 year after employee terminates service. Agency personnel office will incorporate records into official file and destroy duplicate material.

Item 8. DIAGNOSTIC REPORTS FILE. Official copies of mental and physical disorders records of patients admitted to hospitals, alcoholic rehabilitation centers, mental retardation centers, and area programs, and their contract agencies (Form DMH-4732 and DMH-602MR).

SCHEDULE:

- a. Destroy area program reports in the office after 2 months.
- b. Destroy institution reports in the office after 3 months.

Item 9. IDENTIFICATION FACE SHEET - FORM A FILE. Official copies of admission data on patients at hospitals, ARC's, and MRC's, Whitaker School, and N.C. Special Care Center.

SCHEDULE: Destroy in the office after 3 months.

Item 10. POPULATION MOVEMENT DATA FILE. Official copies of population movement data concerning patients at hospitals, ARC's, and MRC's, Whitaker School, and N.C. Special Care Center. File includes information about transfers and visiting patients.

SCHEDULE: Destroy in the office after 3 months.

Item 11. DENIED ADMISSIONS FILE. Official copies of documents concerning patients denied admission to hospitals.

SCHEDULE: Destroy in the office after 3 months.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Client Information

Item 12. GROUP HOMES FOR EMOTIONALLY DISTURBED CHILDREN FILE. Official copies of admissions and termination data on the various group homes.

SCHEDULE: Destroy in the office after 2 years.

Item 13. ATTACHMENTS FILE. Official copies of attachments that are used by facilities in filling out forms (Form B, DS-10, Form A, etc).

SCHEDULE: Destroy in the office when reference value ends.

Item 14. STATISTICS AND INFORMATION SYSTEMS FILE. Official copies of various subject records, correspondence, and other records concerning budget, confidentiality, and space requirements. File includes National Institute of Mental Health information and Southern Regional Conference information.

SCHEDULE: Destroy in the office after 3 years.

Item 15. DIVISION OF MENTAL HEALTH FILE. Correspondence and/or material pertaining to the division as a whole or to specific actions.

SCHEDULE: Destroy in the office after 2 years.

Item 16. FINANCIAL AND EQUIPMENT FILE. File contains records concerning equipment, computer printouts costs, purchase orders, travel information and forms, and telephone charges.

SCHEDULE: Destroy in the office after 3 years.

Item 17. ROUTINE STATISTICAL REPORTS FILE. Official copies of routine reports for hospitals, ARC's, MRC's, Whitaker School, N.C. Special Care Center, and area programs. File includes data on admissions, discharges, and transfers in all facilities.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Client Information

Item 18. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, and transcribed shorthand notes and stenographic materials for all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Client Records Coordinator

Item 1. CLIENT RECORDS FILE. Official copies of correspondence and forms concerning client records in facilities administered by the division and area programs and their contract agencies.

SCHEDULE: Review every 2 years. Destroy records in the office with no administrative value.

Item 2. SAMPLE CHARTS FILE. Official copies of sample medical charts used in facilities administered by the division and area programs and their contract agencies.

SCHEDULE: Destroy in the office when superseded.

Item 3. GENERAL FILE. Official and reference copies of interoffice, regional office, division facility, and area program correspondence and general information.

SCHEDULE: Review every 2 years. Destroy records in the office with no administrative value.

Item 4. READING FILE. Reference copies of all outgoing correspondence.

SCHEDULE: Destroy in the office after 1 year.

Item 5. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, and transcribed shorthand notes and stenographic materials for all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Research and Evaluation Branch

Item 1. EVALUATION FILE. Official and reference copies of correspondence, annual plan of work, alcohol needs assessment, inventories, travel reimbursement records, and other records concerning the Research and Evaluation Program.

SCHEDULE: Destroy in the office when administrative value ends.

Item 2. EVALUATION REPORTS FILE. Official copies of evaluation reports, follow-up and result records, and working papers.

SCHEDULE: Transfer after 5 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 3. EVALUATION REPRINTS FILE. Reference copies of general and statistical articles which are used for reference purposes.

SCHEDULE: Destroy in the office when reference value ends.

Item 4. COMPUTER PRINTOUTS FILE. Official copies of computer printouts for various projects and computer cards used for special studies.

SCHEDULE: Destroy in the office when study is published or completed.

Item 5. INTERVIEW INFORMATION FILE. Official copies of raw data used in compiling studies.

SCHEDULE: Destroy in the office when keyed and verified.

Item 6. EVALUATION CHIEF'S ADMINISTRATIVE FILE. Official and reference copies of studies, annual plan, workshop records, research materials, grants, contracts, and other records used in the administration of the branch.

SCHEDULE: Destroy in the office when administrative value ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Research and Evaluation Branch

Item 7. ALCOHOL EVALUATION FILE. Official copies of studies, reports, printouts, requests, and other information used in the Alcohol Program evaluation procedure.

SCHEDULE: Transfer when reference value ends to the State Records Center. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 8. SMALL GRANT CONTRACTS FILE. Reference copies of contracts.

SCHEDULE: Destroy in the office when grant is closed and released from audit.

Item 9. ADMINISTRATIVE FILE. Official copies of administrative correspondence, memorandums with research personnel, reference copies of Department of Human Resources' directives, education and training materials, and all information used in the administration of the Research Offices.

SCHEDULE: Destroy in the office when agency need ends.

Item 10. PERSONNEL FILE. Reference copies of job descriptions, employee records, and related personnel information.

SCHEDULE:

- a. Transfer personnel files to the agency personnel office 1 year after employee terminates service. Agency personnel office will incorporate records into official file and destroy duplicate material.
- b. Destroy remainder in the office when reference value ends.

Item 11. POLICY FILE. Official and reference copies of branch and division policies, and other records concerning regulations for research on humans, protection of human rights, and Patients Rights and Research Committees.

SCHEDULE: Transfer when reference value ends to the State Records Center. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Research and Evaluation Branch

Item 12. RESEARCH REVIEW COMMITTEE FILE. Reference copies of "Lists of Research in North Carolina."

SCHEDULE: Destroy in the office after 5 years.

Item 13. GRANT INFORMATION FILE. Reference copies of federal rules and regulations, National Institute of Health small grant program records, National Science Foundation grants, and other information pertaining to grants.

SCHEDULE: Destroy in the office when agency need ends.

Item 14. COMMITTEES FILE. Official and reference copies of correspondence, minutes, and other information pertaining to committees and studies with which the Research and Evaluation Branch staff is associated.

SCHEDULE: Destroy in the office after 5 years.

Item 15. SMALL CONTRACTS FILE. Reference copies of contracts, proposals, and final reports pertaining to research contracts.

SCHEDULE:

- a. Destroy contracts and proposals in the office 4 years after contract period ends.
- b. Transfer final reports to Research Reports File (item 16) and follow schedule there.

Item 16. RESEARCH REPORTS FILE. Official copies final reports received from contractors.

SCHEDULE: Transfer after 15 years to the State Records Center. Records will be held for the agency in the State Records Center 15 additional years and then transferred to the custody of the Archives.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Research and Evaluation Branch

Item 17. RESEARCH BRANCH ANNUAL REPORT FILE.

SCHEDULE: Transfer after 15 years to the State Records Center. Records will be held for the agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 18. BUDGET FILE. Reference copies of budget reports.

SCHEDULE: Destroy in the office after 4 years.

Item 19. OFFICE ADMINISTRATION FILE. Reference copies of purchase orders, travel reimbursement forms, equipment brochures, inventories, and other information used for office administration.

SCHEDULE: Destroy in the office after 2 years.

Item 20. STUDENT FILE. Official copies of information pertaining to students who have worked in the Research and Evaluation Branch.

SCHEDULE: Destroy in the office 4 years after student's employment ends.

Item 21. LABORATORY EQUIPMENT FILE. Official copy of inventory of laboratory equipment.

SCHEDULE: Destroy in the office when reference value ends.

Item 22. RESEARCH STUDIES FILE. Official copies of correspondence and other information pertaining to research. File also includes Animal Behavior Society information, review items, grant information, and other information used in the administration of the branch.

SCHEDULE: Destroy in the office when administrative value ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Research and Evaluation Branch

Item 23. REPRINTS FILE. Reference copies of reprints of articles and other documents written by the Division of Mental Health, Mental Retardation, and Substance Abuse Services research scientists.

SCHEDULE: Transfer 5 copies of each publication to the Documents Branch of the State Library. Destroy branch copies in the office when reference value ends.

Item 24. REPRINTS (OTHER) FILE. Reference copies of reprints of articles and papers written by non-staff.

SCHEDULE: Destroy in the office when reference value ends.

Item 25. ADMINISTRATIVE FILE. Official and reference copies of grant information, various reports, reviews of articles for journals, information on laboratory supplies and chemicals, and other administrative records used in the administration of the laboratory.

SCHEDULE: Destroy in the office when administrative value ends.

Item 26. COMPUTER PRINTOUTS FILE. Official copies of computer printouts concerning studies and research conducted by the Research and Evaluation Branch.

SCHEDULE: Destroy in the office when reference value ends.

Item 27. COMPUTER CARD FILE. Official copies of keypunch computer cards used to record research data.

SCHEDULE: Destroy in the office when reference value ends.

Item 28. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material, and transcribed shorthand notes and stenographic materials for all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Regional Office Standard

Item 1. ADMINISTRATIVE RECORDS. Files may contain both official and reference copies of correspondence concerning area programs, regional facilities, central office, and other agencies as well as reports, minutes of meetings, legal, budget, and legislative information, personnel management records, reports, grant information, workshop records, plans, and standards.

SCHEDULE: Review in the office annually. Destroy records in the office over 5 years old with no additional reference value.

Item 2. ADULT MENTAL HEALTH RECORDS. Files may contain both official and reference copies of materials related to the administration, consultation, and technical assistance provided to adult mental health services and programs in area programs and regional psychiatric hospitals.

SCHEDULE: Review in the office annually. Destroy records in the office over 5 years old with no additional reference value.

Item 3. BLOCK GRANT ADMINISTRATIVE RECORDS. Files may contain both official and reference copies of materials related to the administration, consultation, and technical assistance provided to Block Grant Services and programs in regions. Files may include contracts, standards, allocations, revisions, projections, reviews, billings, regulations, instructions, agreements, invoices, minutes, correspondence, monitoring forms, reports, work plans, Title XX records, and various other documents used in the administration of block grants.

SCHEDULE: Review in the office annually. Destroy records in the office over 5 years old, if released from all audits. If not released, retain until final resolution and release, then destroy in the office.

Item 4. FISCAL RECORDS. Files may contain both official and reference copies of materials related to the administration, monitoring, and technical assistance provided to area programs in the subjects of allocations, budget, budget revisions, contracts, reimbursements, tentative settlements, and quarterly reports, and other general fiscal files. Files may include or concern accounts payable, audit reports, budget instructions, budgeted revenue data, cost studies, fund balance information, supply and equipment invoices, and per capita appropriations.

SCHEDULE: Review in the office annually. Destroy records in the office over 3 years old, if released from all audits. If not released, retain until final resolution and release, then destroy in the office.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Regional Office Standard

Item 5. MENTAL RETARDATION RECORDS. Files may contain both official and reference copies of materials related to the administration, consultation, and technical assistance provided to mental retardation services and programs in regions. Topics might include the following: ADAP, adults' and children's group homes, apartment living, area allocations, area reviews, associations, CAP/MR, categorical funds, CLS, community residential, correspondence, DDTI, day services, developmental day, employee matters, employment, HUD forms, ICF/MR, laws, MR/MRS Teams meetings, needs, PACT, plans, organizations, regulations, residential services, respite, roles, specialized foster care, training, "Willie M.," WRMT meetings, and various other topics as needed.

SCHEDULE: Review in the office annually. Destroy records in the office over 5 years old with no additional reference value.

Item 6. OCCUPATIONAL PROGRAMS RECORDS. Files may contain both official and reference copies of subject materials related to the administration, consultation, and technical assistance provided to occupational program services and programs in regions. File topics might include associations and committees, area programs' contracts, correspondence, statistical reports, federal EAP guidelines, institutions' assessments, referrals, and correspondence, publications, training modules, and various other topics as needed.

SCHEDULE: Review in the office annually. Destroy records in the office over 5 years old with no additional reference value.

Item 7. REGIONAL QUALITY ASSURANCE RECORDS. Files may contain both official and reference copies of subject materials related to the administration, consultation, technical assistance, and monitoring and delivery of services provided to area programs. File topics may include planning, evaluation, client records, statistics, program reviews, standards, APS, research, and various other topics as needed.

SCHEDULE: Review in the office annually. Destroy records in the office over 5 years old with no additional reference value.

Item 8. SUBSTANCE ABUSE SERVICES RECORDS. Files may contain both official and reference copies of subject materials related to the administration, consultation, technical assistance, monitoring, and delivery of services provided to area programs concerning alcohol and drug services.

SCHEDULE: Review in the office annually. Destroy records in the office over 5 years old with no additional reference value.

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Regional Office Standard

Item 9. "WILLIE M." PROGRAM SERVICES RECORDS. Official and reference copies of subject materials related to the administration, consultation, and technical assistance provided to area programs.

SCHEDULE: Review in the office annually. Destroy records in the office over 5 years old with no additional reference value.

Item 10. NONRECORD MATERIALS. Nonrecord materials include supplies of blank forms, rough drafts, stocks of publications, drafts, worksheets, and notes that do not represent significant basic steps in the preparation of official copies of documents, letters of transmittal that do not add information to that contained in the transmitted material and transcribed shorthand notes, and stenographic materials of all types.

Material is usually considered to be nonrecord because of one or more of the following reasons. 1. It is an extra copy of a document already in an official file. 2. It has no real documentary or informational value, or it has only a very short-term value. 3. It consists of processed or printed material maintained only for reference.

SCHEDULE: Destroy in the office when agency need ends.

Department of Human Resources
Division of Mental Health, Mental Retardation, and Substance Abuse Services

Machine Readable Public Records

Item 1. Electronic Data Processing and Word Processing Public Records

- a. Master Files. Official and duplicate copies of recapitulated machine readable public records for various data and word processing systems applications operated by government agencies.

SCHEDULE:

1. Duplicate copies may be erased/destroyed at the discretion of the agency.
2. Back-up by copying all official master files containing public records and store the copy at a secure, protected, off-site location such as the State Records Center. Public records custodians should update the files periodically by erasing and exchanging the tapes or disks, etc. as necessary.
3. Erase and/or update any electronic data processing master files containing public records which may relate to or concern an agency's budget and fiscal actions, routine office administration, personnel actions, and public relations when agency need ends, if all local, state, and federal requirements have been fulfilled.
4. Erase and/or update word processing tapes and disks containing public records when agency need ends, if paper output is produced, filed, and is specifically listed and scheduled in a records retention and disposition schedule that was prepared, approved, and issued by the N.C. Division of Archives and History, N.C. Department of Cultural Resources. Public records custodians with unlisted or unscheduled tapes and disks should complete and submit form RC-MRR-1S (page XXII) to the Department of Cultural Resources for approval or arrange with the Division of Archives and History to inventory, appraise, and schedule in a jointly approved document all such master files containing public records.
5. Erase electronic mail records when agency need ends except those which specifically concern an agency's policies, procedures, directives, regulations, rules, and other information that might provide the public with evidence of the organization, functions, and accomplishments of the agency.
6. The erasure or destruction of any other machine readable master file containing public records which is not listed above is not authorized by this records retention and disposition schedule. Public records custodians with unlisted or unscheduled master files of no further value to the agency should either complete and submit Form RC-MRR-1S (page XXII) to the Department of Cultural Resources for approval of the erasure/destruction or arrange with the Division of Archives and History to inventory, appraise, and schedule in a jointly approved document all such master files containing public records.

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Machine Readable Public Records

- b. Processing Files. Official and duplicate copies of machine readable public records used in the preparation of or in conjunction with master files for various data and word processing systems applications operated by government agencies.

SCHEDULE:

1. Duplicate copies may be erased/destroyed at the discretion of the agency.
2. Erase and/or update official copies of processing files when the final master file is created, if agency need has ended. The Department of Cultural Resources and the Department of State Auditor recommend that processing files be retained for three (3) cycles [son, father, grandfather].

- c. Systems Documentation. Official and duplicate copies of machine readable data or paper documentation which are used and needed to run master or processing files.

SCHEDULE:

1. Duplicate copies may be erased/destroyed at the discretion of the agency.
2. Erase and/or destroy official copies when agency need ends except systems documentation concerning master files as described in paragraph 6 on page 74. Public records custodians should either complete and submit Form RC-MRR-1S (page XXII) to the Department of Cultural Resources for concurrence in the erasure/destruction or arrange with the Division of Archives and History to inventory, appraise, and schedule in a jointly approved document all master file documentation.

Item 2. Audio/Video Tape Public Records

- a. Audio Tapes. Official and duplicate copies of public records recorded on various types of magnetic audio recording tape.

SCHEDULE:

1. Duplicate copies may be erased/destroyed at the discretion of the agency.
2. Destroy dictation tapes containing routine correspondence, reports, etc. when transcribed, accepted, and approved. If not transcribed verbatim, destroy when agency need ends but within 5 years.
3. Destroy audio tapes containing the proceedings of public hearing meetings when transcribed, accepted, and approved. If not transcribed verbatim, destroy when administrative and legal values end.

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Machine Readable Public Records

4. Destroy audio tapes containing the proceedings of closed hearings/meetings when transcribed, accepted, and approved. If not transcribed verbatim, destroy when administrative and legal values end.
 5. Destroy audio tapes containing public relations records and materials when agency need ends.
 6. Destroy audio tapes containing training records and materials when agency need ends.
 7. The erasure/destruction of any other audio tape containing public records pertaining to subjects and matters not listed above is not authorized by this records retention and disposition schedule. Public records custodians should either complete and submit Form RC-MRR-1S (page XXII) to the Department of Cultural Resources for consent to the erasure/destruction or arrange with the Division of Archives and History to inventory, appraise, and schedule in a jointly approved document all audio tapes containing public records.
- b. Video Tapes. Official and duplicate copies of public records recorded on various types of magnetic video recording tapes.

SCHEDULE:

1. Duplicates may be erased at the discretion of the agency.
2. Transfer video tapes containing the proceedings of public hearings/meetings to the State Records Center when agency need ends. Records will be held for the agency in the State Records Center 2 additional years and then transferred to the custody of the Archives.
3. Destroy video tapes containing the proceedings of closed hearings/meetings when administrative and legal values end.
4. Destroy video tapes containing records or materials pertaining to public relations when agency need ends.
5. Destroy video tapes containing training records and materials when agency need ends.
6. The erasure/destruction of any other video tape containing public records pertaining to subjects and matters not listed above is not authorized by this records retention and disposition schedule. Public records custodians should either complete and submit Form RC-MRR-1S (page XXII) to the Department of Cultural Resources for consent to the erasure/destruction or arrange with the Division of Archives and History to inventory, appraise, and schedule in a jointly approved document all video tapes containing public records.

APPENDIX

Chapter 132.

Public Records.

Sec.	Sec.
132-1. "Public records" defined.	132-8. Assistance by and to Department of Cultural Resources.
132-1.1. Confidential communications by legal counsel to public board or agency; not public records.	132-8.1. Records management program administered by Department of Cultural Resources; establishment of standards, procedures, etc.; surveys.
132-2. Custodian designated.	132-8.2. Selection and preservation of records considered essential; making or designation of preservation duplicates; force and effect of duplicates or copies thereof.
132-3. Destruction of records regulated.	132-9. Access to records.
132-4. Disposition of records at end of official's term.	
132-5. Demanding custody.	
132-5.1. Regaining custody; civil remedies.	
132-6. Inspection and examination of records.	
132-7. Keeping records in safe places; copying or repairing; certified copies.	

§ 132-1. "Public records" defined.

"Public record" or "public records" shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction of public business by any agency of North Carolina government or its subdivisions. Agency of North Carolina government or its subdivisions shall mean and include every public office, public officer or official (State or local, elected or appointed), institution, board, commission, bureau, council, department, authority or other unit of government of the State or of any county, unit, special district or other political subdivision of government. (1935, c. 265, s. 1; 1975, c. 787, s. 1.)

Legal Periodicals. — For comment on public access to government-held records, see 55 N.C.L. Rev. 1187 (1977).

CASE NOTES

Cited in *State v. Bellar*, 16 N.C. App. 339, 192 S.E.2d 86 (1972).

OPINIONS OF ATTORNEY GENERAL

Police Arrest and Disposition Records Subject to Public Examination. — See opinion of Attorney General to Mr. Samuel M. Moore, 41 N.C.A.G. 407 (1971).

Textbook Lists of State Universities Are Public Records. — See opinion of Attorney General to Mr. J.D. Wright, North Carolina State University at Raleigh, 41 N.C.A.G. 199 (1971).

Applications for Licensure as Speech and Language Pathologists and Audiologists Are Public Records. — See opinion of Attorney General to Mariana Newton, Phd., Chairman, Board of Examiners

for Speech and Language Pathologists and Audiologists, 45 N.C.A.G. 188 (1976).

Municipal Records and Papers, Such as Budgets, Bank Statements, Tax Levies, Utility Accounts, Minutes of Meetings, etc., Are Public Records. — See opinion of Attorney General to Honorable R.L. Davis, 43 N.C.A.G. 274 (1973).

Sheriff's department investigative reports and memoranda concerning investigation of crimes are not public records within the sense of Chapter 132 of the General Statutes and are not thereby subject to public inspection. Opinion of Attorney General to

Honorable J. Hubert Haynes, 44 N.C.A.G. 340 (1975).

Copies of Forms Maintained by Law Enforcement Officers Are Not Public Records. — The copy of form HP-332 (affidavit form) maintained by the arresting officer which is completed when a person refuses to take a chemical test to determine alcoholic content of the blood, is not a public record and subject to inspection. See opinion of Attorney General to Barbara Smith, Assistant Secretary, Department of Crime Control and Public Safety, 48 N.C.A.G. 1 (1978).

The copy of HP-332A (rights of person requested to take chemical test to determine alcoholic content of blood under G.S. 20-161(a)) which maintained by arresting officer is not a public record and subject to inspection. See opinion of Attorney General to Barbara Smith, Assistant Secretary, Department of Crime Control and Public Safety, 48 N.C.A.G. 1 (1978).

The copy of the alcohol influence report (HP-327) which is maintained by the arresting officer and the copy maintained at troop headquarters is not a public record and subject to inspection. See opinion of Attorney General to Barbara Smith, Assistant Secretary, Department of Crime Control and Public Safety, 48 N.C.A.G. 1 (1978).

The departmental copy of the N.C. uniform traffic ticket and complaint, which is submitted by a highway patrolman to the district first sergeant who transmits it to the Traffic Record Section of the Division of Motor Vehicles, is not a public record and subject to inspection during the time it is maintained at the patrol district

headquarters. See opinion of Attorney General to Barbara Smith, Assistant Secretary, Department of Crime Control and Public Safety, 48 N.C.A.G. 1 (1978).

The enforcement division copy of the N.C. uniform traffic ticket and complaint, which is maintained by the officer issuing the complaint and includes his notes and other evidence, is not a public record and subject to inspection prior to trial of the offense charged in the complaint. See opinion of Attorney General to Barbara Smith, Assistant Secretary, Department of Crime Control and Public Safety, 48 N.C.A.G. 1 (1978).

The enforcement division copy of the N.C. uniform traffic ticket and complaint is not a public record and subject to inspection in the patrol district headquarters after the trial of the offense charged in the complaint. See opinion of Attorney General to Barbara Smith, Assistant Secretary, Department of Crime Control and Public Safety, 48 N.C.A.G. 1 (1978).

The chemical test operator's log (DHS-2069) is not a public record and subject to inspection while in the possession of the chemical test operator. See opinion of Attorney General to Barbara Smith, Assistant Secretary, Department of Crime Control and Public Safety, 48 N.C.A.G. 1 (1978).

The breathalyzer operational checklist (DHS-2012) which is completed and maintained by the breathalyzer operator is not a public record and subject to inspection. See opinion of Attorney General to Barbara Smith, Assistant Secretary, Department of Crime Control and Public Safety, 48 N.C.A.G. 1 (1978).

§ 132-1.1. Confidential communications by legal counsel to public board or agency; not public records.

Public records, as defined in G.S. 132-1, shall not include written communications (and copies thereof) to any public board, council, commission or other governmental body of the State or of any county, municipality or other political subdivision or unit of government, made within the scope of the attorney-client relationship by any attorney-at-law serving any such governmental body, concerning any claim against or on behalf of the governmental body or the governmental entity for which such body acts, or concerning the prosecution, defense, settlement or litigation of any judicial action, or any administrative or other type of proceeding to which the governmental body is a party or by which it is or may be directly affected. Such written communication and copies thereof shall not be open to public inspection, examination or copying unless specifically made public by the governmental body receiving such written communications; provided, however, that such written communications and copies thereof shall become public records as defined in G.S. 132-1 three years from the date such communication was received by such public board, council, commission or other governmental body. (1975, c. 662.)

§ 132-2. Custodian designated.

The public official in charge of an office having public records shall be the custodian thereof. (1935, c. 265, s. 2.)

§ 132-3. Destruction of records regulated.

No public official may destroy, sell, loan, or otherwise dispose of any public record, except in accordance with G.S. 121-5, without the consent of the Department of Cultural Resources. Whoever unlawfully removes a public record from the office where it is usually kept, or alters, defaces, mutilates or destroys it shall be guilty of a misdemeanor and upon conviction fined not less than ten dollars (\$10.00) nor more than five hundred dollars (\$500.00). (1935, c. 265, s. 3; 1943, c. 237; 1953, c. 675, s. 17; 1957, c. 330, s. 2; 1973, c. 476, s. 48.)

Cross References. — For section further regulating destruction of records, see § 121-5.

CASE NOTES

Applied in *State v. West*, 31 N.C. App. 431, 229 S.E.2d 826 (1976).

Cited in *State v. Bellar*, 16 N.C. App. 339, 192 S.E.2d 86 (1972).

§ 132-4. Disposition of records at end of official's term.

Whoever has the custody of any public records shall, at the expiration of his term of office, deliver to his successor, or, if there be none, to the Department of Cultural Resources, all records, books, writings, letters and documents kept or received by him in the transaction of his official business; and any such person who shall refuse or neglect for the space of 10 days after request made in writing by any citizen of the State to deliver as herein required such public records to the person authorized to receive them shall be guilty of a misdemeanor and upon conviction imprisoned for a term not exceeding two years or fined not exceeding one thousand dollars (\$1,000) or both. (1935, c. 265, s. 4; 1943, c. 237; 1973, c. 476, s. 48; 1975, c. 696, s. 1.)

§ 132-5. Demanding custody.

Whoever is entitled to the custody of public records shall demand them from any person having illegal possession of them, who shall forthwith deliver the same to him. If the person who unlawfully possesses public records shall without just cause refuse or neglect for 10 days after a request made in writing by any citizen of the State to deliver such records to their lawful custodian, he shall be guilty of a misdemeanor and upon conviction imprisoned for a term not exceeding two years or fined not exceeding one thousand dollars (\$1,000) or both. (1935, c. 265, s. 5; 1975, c. 696, s. 2.)

§ 132-5.1. Regaining custody; civil remedies.

(a) The Secretary of the Department of Cultural Resources or his designated representative or any public official who is the custodian of public records which are in the possession of a person or agency not authorized by the custodian or by law to possess such public records may petition the superior court in the county in which the person holding such records resides or in which the materials in issue, or any part thereof, are located for the return of such public records. The court may order such public records to be delivered to the

petitioner upon finding that the materials in issue are public records and that such public records are in the possession of a person not authorized by the custodian of the public records or by law to possess such public records. If the order of delivery does not receive compliance, the petitioner may request that the court enforce such order through its contempt power and procedures.

(b) At any time after the filing of the petition set out in subsection (a) or contemporaneous with such filing, the public official seeking the return of the public records may by ex parte petition request the judge or the court in which the action was filed to grant one of the following provisional remedies:

(1) An order directed at the sheriff commanding him to seize the materials which are the subject of the action and deliver the same to the court under the circumstances hereinafter set forth; or

(2) A preliminary injunction preventing the sale, removal, disposal or destruction of or damage to such public records pending a final judgment by the court.

(c) The judge or court aforesaid shall issue an order of seizure or grant a preliminary injunction upon receipt of an affidavit from the petitioner which alleges that the materials at issue are public records and that unless one of said provisional remedies is granted, there is a danger that such materials shall be sold, secreted, removed out of the State or otherwise disposed of so as not to be forthcoming to answer the final judgment of the court respecting the same; or that such property may be destroyed or materially damaged or injured if not seized or if injunctive relief is not granted.

(d) The aforementioned order of seizure or preliminary injunction shall issue without notice to the respondent and without the posting of any bond or other security by the petitioner. (1975, c. 787, s. 2.)

CASE NOTES

Public records and documents are the property of the State and not of the individual who happens, at the moment, to have them in his possession; and when they are deposited in the place designated for them by law, there they must remain, and can be removed only under authority of an act of the legislature and in the manner and for the purpose designated by law. *State v. West*, 31 N.C. App. 431, 229 S.E.2d 826 (1976), aff'd, 293 N.C. 18, 235 S.E.2d 150 (1977).

Since ownership of bills of indictment is

in the State, it cannot be disposed of except as provided by law. It cannot be forfeited through the oversight, carelessness or even intentional conduct of any of the agents of the State. Thus, the documents in question left the custody of the court in an unlawful manner and legal title thereto cannot pass to the individual who happens, at the moment, to have them in his possession. *State v. West*, 31 N.C. App. 431, 229 S.E.2d 826 (1976), aff'd, 293 N.C. 18, 235 S.E.2d 150 (1977).

§ 132-6. Inspection and examination of records.

Every person having custody of public records shall permit them to be inspected and examined at reasonable times and under his supervision by any person, and he shall furnish certified copies thereof on payment of fees as prescribed by law. (1935, c. 265, s. 6.)

Legal Periodicals. — For comment on public access to government-held records, see 55 N.C.L. Rev. 1187 (1977).

§ 132-7. Keeping records in safe places; copying or repairing; certified copies.

Insofar as possible, custodians of public records shall keep them in fireproof safes, vaults, or rooms fitted with noncombustible materials and in such arrangement as to be easily accessible for convenient use. All public records should be kept in the buildings in which they are ordinarily used. Record books should be copied or repaired, renovated or rebound if worn, mutilated, damaged or difficult to read. Whenever any State, county, or municipal records are in need of repair, restoration, or rebinding, the head of such State agency, department, board, or commission, the board of county commissioners of such county, or the governing body of such municipality may authorize that the records in need of repair, restoration, or rebinding be removed from the building or office in which such records are ordinarily kept, for the length of time required to repair, restore, or rebind them. Any public official who causes a record book to be copied shall attest it and shall certify on oath that it is an accurate copy of the original book. The copy shall then have the force of the original. (1935, c. 265, s. 7; 1951, c. 294.)

§ 132-8. Assistance by and to Department of Cultural Resources.

The Department of Cultural Resources shall have the right to examine into the condition of public records and shall give advice and assistance to public officials in the solution of their problems of preserving, filing and making available the public records in their custody. When requested by the Department of Cultural Resources, public officials shall assist the Department in the preparation of an inclusive inventory of records in their custody, to which shall be attached a schedule, approved by the head of the governmental unit or agency having custody of the records and the Secretary of Cultural Resources, establishing a time period for the retention or disposal of each series of records. Upon the completion of the inventory and schedule, the Department of Cultural Resources shall (subject to the availability of necessary space, staff, and other facilities for such purposes) make available space in its Records Center for the filing of semicurrent records so scheduled and in its archives for noncurrent records of permanent value, and shall render such other assistance as needed, including the microfilming of records so scheduled. (1935, c. 265, s. 8; 1943, c. 237; 1959, c. 68, s. 2; 1973, c. 476, s. 48.)

§ 132-8.1. Records management program administered by Department of Cultural Resources; establishment of standards, procedures, etc.; surveys.

A records management program for the application of efficient and economical management methods to the creation, utilization, maintenance, retention, preservation, and disposal of official records shall be administered by the Department of Cultural Resources. It shall be the duty of that Department, in cooperation with and with the approval of the Department of Administration, to establish standards, procedures, and techniques for effective management of public records, to make continuing surveys of paper work operations, and to recommend improvements in current records management practices including the use of space, equipment, and supplies employed in creating, maintaining, and servicing records. It shall be the duty of the head of each State agency and the governing body of each county, municipality and

other subdivision of government to cooperate with the Department of Cultural Resources in conducting surveys and to establish and maintain an active, continuing program for the economical and efficient management of the records of said agency, county, municipality, or other subdivision of government. (1961, c. 1041; 1973, c. 476, s. 48.)

§ 132-8.2. Selection and preservation of records considered essential; making or designation of preservation duplicates; force and effect of duplicates or copies thereof.

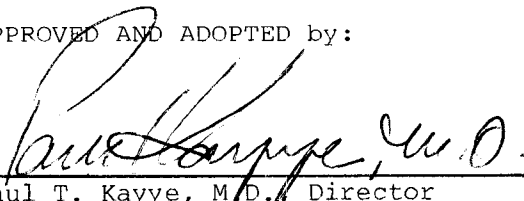
In cooperation with the head of each State agency and the governing body of each county, municipality, and other subdivision of government, the Department of Cultural Resources shall establish and maintain a program for the selection and preservation of public records considered essential to the operation of government and to the protection of the rights and interests of persons, and, within the limitations of funds available for the purpose, shall make or cause to be made preservation duplicates or designate as preservation duplicates existing copies of such essential public records. Preservation duplicates shall be durable, accurate, complete and clear, and such duplicates made by a photographic, photostatic, microfilm, micro card, miniature photographic, or other process which accurately reproduces and forms a durable medium for so reproducing the original shall have the same force and effect for all purposes as the original record whether the original record is in existence or not. A transcript, exemplification, or certified copy of such preservation duplicate shall be deemed for all purposes to be a transcript, exemplification, or certified copy of the original record. Such preservation duplicates shall be preserved in the place and manner of safekeeping prescribed by the Department of Cultural Resources. (1961, c. 1041; 1973, c. 476, s. 48.)

§ 132-9. Access to records.

Any person who is denied access to public records for purposes of inspection, examination or copying may apply to the appropriate division of the General Court of Justice for an order compelling disclosure, and the court shall have jurisdiction to issue such orders. (1935, c. 265, s. 9; 1975, c. 787, s. 3.)

Legal Periodicals. — For comment on public access to government-held records, see 55 N.C.L. Rev. 1187 (1977).

APPROVED AND ADOPTED by:



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